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# **NAVAL POSTGRADUATE SCHOOL**

## **Monterey, California**



## **THESIS**

**LEADERSHIP DEVELOPMENT REVISITED:  
AN ASSESSMENT OF  
MIDSHIPMEN LEARNING PROCESSES AT  
THE UNITED STATES NAVAL ACADEMY**

by

Robert Kennedy, Jr.

December 1998

Thesis Co-Advisors:

Alice Crawford  
Gail F. Thomas

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## 13. ABSTRACT

This thesis attempts to answer the following research questions: (1) How do midshipmen learn about leadership? (2) How do officer learning processes differ from midshipmen learning processes? The learning literature and the leadership literature identified the following leadership learning processes: (1) experience, (2) observation, (3) reflection, (4) experimentation, (5) interpersonal interactions, (6) organizational cultural, (7) formal instruction (i.e., conceptualization), and (8) self-direction. To test the research questions, the author conducted 25 focused interviews with Naval Academy midshipmen, Naval Postgraduate School students, and Naval Academy leadership instructors. The interview data was transcribed and analyzed. The data analysis yielded eight general themes related to midshipmen leadership development. The data suggested midshipmen learn leadership from the following sources: experience, observation, reflection, interpersonal interaction, and organizational culture. The interview data further suggested midshipmen do not learn leadership from formal classroom instruction; however, the officer interview data supported conceptualization (i.e., theoretical instruction) as an important leadership learning process. The officer interview data suggested that graduate students and leadership instructors use an integrated (i.e., systems) approach to learn leadership.

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MIDSHIPMEN LEARNING PROCESSES AT THE UNITED STATES NAVAL  
ACADEMY**

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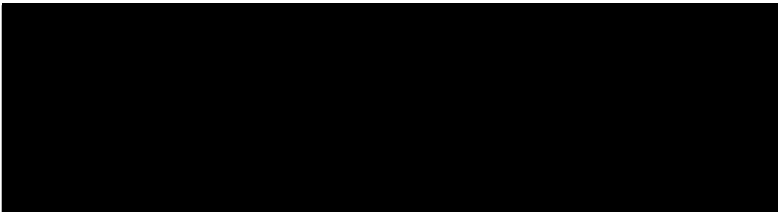
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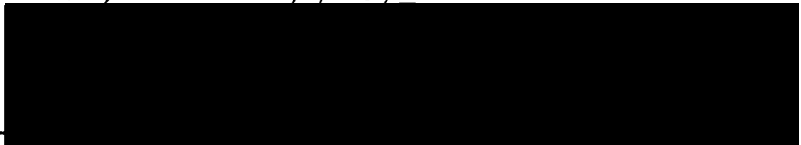
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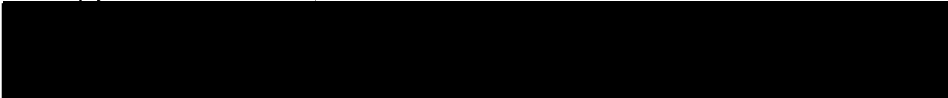
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## ABSTRACT

This thesis attempts to answer the following research questions: (1) How do midshipmen learn about leadership? (2) How do officer learning processes differ from midshipmen learning processes? The learning literature and the leadership literature identified the following leadership learning process: (1) experience, (2) observation, (3) reflection, (4) experimentation, (5) interpersonal interactions, (6) organizational cultural, (7) formal instruction (i.e., conceptualization), and (8) self-direction. To test the research questions, the author conducted 25 focused interviews with Naval Academy midshipmen, Naval Postgraduate School students, and Naval Academy leadership instructors. The interview data were transcribed and analyzed. The data analysis yielded eight general themes related to midshipmen leadership development. The data suggested midshipmen learn leadership from the following sources: experience, observation, reflection, interpersonal interaction, and organizational culture. The interview data further suggested midshipmen do not learn leadership from formal classroom instruction; however, the officer interview data supported conceptualization (i.e., theoretical instruction) as an important leadership learning process. The officer interview data suggested that graduate students and leadership instructors use an integrated (i.e., systems) approach to learn leadership.



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## **I. TO DEVELOP MIDSHIPMEN**

The mission of the Naval Academy is to develop midshipmen morally, mentally, and physically and to imbue them with the highest ideals of duty, honor, and loyalty in order to provide graduates who are dedicated to a career of naval service and have potential for future development in mind and character to assume the highest responsibilities of command citizenship and government (Turner, 1997; p. 1).

### **A. BACKGROUND**

With the mission as a starting point, the Special Committee to the Board of Visitors conducted a bottom-up assessment of the United States Naval Academy and presented their findings in The Higher Standard (Turner, 1997). The report provided the administration with specific policy recommendations: the Naval Academy should (1) integrate the various components of the leadership curriculum and the professional programs into a single system, (2) include a mandatory human behavior course to increase social and behavioral understanding, and (3) redefine the Company Officer position to focus on developing the midshipmen's leadership and professional competencies (Turner, 1997).

### **B. PURPOSE OF THE STUDY**

Based upon the recommendations of the Turner Commission, the Naval Academy's administration has taken steps to improve the midshipmen's four-year leadership continuum. To date, these modifications have been based primarily upon conversations with the organizational stakeholders (i.e., fleet Commanding Officers and Command Master Chiefs). The aim of this study is to provide a scholarly analysis of the

midshipmen's learning methodology to determine how information is received from a midshipman's perspective. This methodology should allow the administration to tailor Naval Academy programs to take advantage of these learning conduits. With this in mind, the purpose of this thesis is to identify the processes that midshipmen use to learn leadership.

### C. RESEARCH QUESTIONS AND METHODOLOGY

This study focuses on a two research questions: *(1) How do midshipmen learn leadership? (2) How do officer learning processes differ from midshipmen learning processes?* This study uses qualitative research methods and inductive analysis to identify overarching themes. Interviews were conducted with a sample of 18 Naval Academy Midshipmen, five Naval Postgraduate School (NPS) students (i.e., prospective Naval Academy Company Officers), and two Naval Academy leadership instructors. The interview protocol uses seven questions to identify the processes that midshipmen use to learn leadership and to identify differences between officer learning process and midshipmen learning processes. The constant comparison method of data analysis was used to develop themes that are supported with quotes from the interview data.

While the interview data include explanations about formal and informal leadership experiences, good and bad role models, diverse leadership styles, and personal leadership theories, *the primary intent of this project is to create an understanding of the learning processes (i.e., how do midshipmen learn leadership?) rather than the substantive leadership lessons (i.e., what are the midshipmen learning about leadership?).*

#### **D. POTENTIAL BENEFITS**

The Turner (1997) Commission tasked the Naval Academy administration with reviewing and revising the midshipmen leadership development continuum. The results obtained from the midshipmen interview data will provide the administration with baseline information on midshipmen learning processes that can be incorporated into the their assessment. In addition, the results obtained from the officer interview data will provide Company Officers and leadership instructors with information about their leadership learning processes, and will identify differences between midshipmen learning processes and officer learning processes. With this information in hand, the administration, Company Officers, and leadership instructors will be able to use the results of this study to acknowledge the differences between officer and midshipmen learning and to facilitate midshipmen leadership development by using midshipmen learning processes rather than officer learning processes.

#### **E. THESIS ORGANIZATION**

This thesis uses an inductive research methodology to answer the following research question: How do midshipmen learn leadership? Chapter II presents the relevant literature on learning theory and leadership development. Chapter III reviews the sample population, interview protocol, data collection procedures, and data analysis methodology. Chapter IV presents the themes developed from the data analysis and

supports these themes with specific quotes from the interview data. Chapter V provides conclusions and questions for additional research.

## **II. IT CAN ONLY BE LEARNED**

For leadership cannot really be taught, it can only be learned. If you work hard at it - given a modicum of potential - you will improve. Indeed, someone of modest natural ability who works hard at the task...will eventually outstrip a person of high natural ability who is lazy and instinctive about it (Adair, 1983; p. 189).

### **A. OVERVIEW**

In the previous passage, John Adair (1983) makes a cursory distinction between teaching and learning, and describes the advantages associated with learning leadership principles. Most management practitioners and leadership academics endorse Adair's (1984) philosophy and, as a result, advocate organizational leadership development programs (Bennis & Nanus, 1997; Maxwell, 1995). However, these leadership theorists typically present their leadership lessons from a teaching perspective instead of a learning viewpoint.

In this chapter, the researcher shifts the focus from teaching interests to learning interests by (1) reviewing the operational definitions of leadership and learning, (2) presenting the adult learning principles, and (3) synthesizing the contemporary hypotheses into a coherent leadership learning theory.

### **B. FROM LEADERSHIP TO LEARNING**

#### **1. What Is Leadership?**

Roach and Behling (1984) define leadership as "...the process of moving an organized group toward accomplishing its goals." (p.43). This process is based upon the interactions between leaders and followers that take place in the context of a particular

situation (Hughes, Ginnett, & Curphy, 1993; Stogdill, 1948). Wren (1995) notes that leadership is not limited to an individual in a particular role, rather leadership can be initiated by a superior, peer, and/or a subordinate.

Hollander and Julian (1969) define leadership as "...the presence of a particular influence relationship between two or more persons." (p. 41). Fielder (1967) supports the influence relationship while noting the supervisory nature of group work. Merton (1969) and, Hollander and Julian (1969) provide additional support for Fielder (1967) by defining leadership as an "interpersonal relation in which others comply because they want to, not because they have to." (p. 42).

In this research, the interviewer uses two definitions of leadership because the midshipmen and the officers tend to view leadership from two different perspectives. Based upon preliminary conversations with midshipmen, the interviewer concluded that most midshipmen view leadership as an influence relationship between the leader and the follower. As a result, the Hollander and Julian (1969) definition of leadership is most appropriate for the midshipmen sample. During several conversations with graduate students and leadership instructors, the interviewer concluded that most officers view leadership in terms of mission accomplishment. For these individuals, the Roach and Behling (1984) definition is more appropriate because it involves moving a group towards the organization's goals (i.e., mission accomplishment).

## **2. What Is Learning?**

Bower and Hilgard (1981) present their formal definition of learning in the following passage:

Learning refers to the change in a subject's behavior or behavior potential in a given situation, brought about by the subject's repeated experiences in that situation, provided that the behavior changes cannot be explained on the basis of the subject's native response tendencies (such as fatigue, drunkenness, drives, and so on). (p. 11).

Boyatzis, Cowen, and Kolb (1995) describes learning as a process that involves making meaning from experience. This process can be divided into two parts: (1) extracting knowledge from the environment; and, (2) providing knowledge to the environment. Boyatzis et al. refers to the outside-in process as accommodation and the inside-out process as assimilation. With this in mind, learning from experience involves a balance between both components of the learning process, reflecting on personal experiences, listening to other people's opinions, and using those pieces of information to form personal conclusions (Boyatzis et al., 1995).

Kolb, Rubin, and Osland (1991) describe learning as the process of acquiring concepts and ideas. The process occurs on the individual level and usually includes the ability to demonstrate the acquired knowledge or behaviors. Gross (1991) expands the definition of learning to include products and functions as well as processes. Gross continues this analysis in the following passage:

Learning, then, is an activity of one who learns it. It may be intentional or random; it may involve acquiring new information or skills, new attitudes, understanding or values. It usually is accompanied by change in behavior and goes on throughout life. It is often thought of as both processes and outcomes. (p. 30).

### **3. Can An Individual Really Learn Leadership?**

Adair (1984), Donnithorpe (1994), and Maxwell (1995) believe that individuals are capable of learning leadership principles. The most notable concepts include (1) moral principles, (2) ethical decision-making, (3) supervisor-subordinate relationships, (4) character traits, and (5) mission accomplishment. Wren's (1995) publication, The Leader's Companion, includes sixty-four scholarly articles on leadership theory and development. In short, these articles present the reader with good leadership techniques and support the idea that leadership can be taught. However, the current body of literature does not explain the leadership learning process (i.e., how an individual actually learns and incorporates leadership principles).

### **4. How Does An Individual Learn Leadership?**

Bennis and Goldsmith (1994) attempt to answer this question in their book Learning To Lead. Their work synthesizes the operational definition of leadership and the formal definition of learning. With this foundation, Bennis and Goldsmith's (1994) scholarly analysis views leadership from the student's standpoint rather than the teacher's perspective. Their work includes the following learning processes: (1) conducting self-assessments, (2) establishing concrete learning objectives, (3) reflecting on personal experiences, (4) identifying learning styles, (5) learning from failure, (6) creating leadership goals, and (7) assessing individual performances. Cronin (1984) further suggests that the answer to the subheading's question (i.e., how does and individual learn leadership?) may lie in the adult learning literature rather than the leadership literature.

### **C. ADULT LEARNING PRINCIPLES**

Boyatzis et al. (1995) and Kolb et al. (1991) believe that the adult learning environment is based upon five fundamental assumptions: adult learning is (1) based upon a psychological reciprocity contract (i.e., adults receive information from the instructors and provide information to other learners); (2) based upon experience (i.e., adults use their experience base to determine what they need to learn, and they use their experience to help others to learn); (3) influenced by the personal application of the abstract concepts to their particular situation; (4) a solitary process that incorporates unique experiences and individual learning environments; and (5) an integrated system that emphasizes a holistic approach to learning and living.

### **D. CONTEMPORARY LEARNING THEORIES**

Although the leadership literature does not provide much guidance into this thesis' research question, the contemporary learning theories coupled with the assumptions described in the previous subsections provide significant insight into the leadership learning process. This literature is grouped into the following categories: (1) experiential learning, (2) observational learning, (3) individual learning, and (4) interactive learning.

#### **1. Experiential Learning**

Boyatzis et al. (1995) and Kolb et al. (1991) define experiential learning as a holistic theory that divides individual learning styles into a four-stage cycle. This learning theory synthesizes different ways of learning into a single system with the following components: (1) concrete experience (CE); (2) reflective observation (RO); (3)

abstract conceptualization (AC), and (4) active experimentation (AE). In Figure 1, Kolb provides a visual description of the experiential learning model. The process is initiated by a learning experience (CE). After reflecting on the experience (RO), the learner integrates his or her perspectives on the experience into a coherent theory (AC). Once the theory has been formed, the experiential learner predicts how the new theories can be used in similar situations and experiments (AE) to test the validity of his or her theory (Boyatzis et al., 1995; Kolb et al., 1991, Mezirow, 1991).

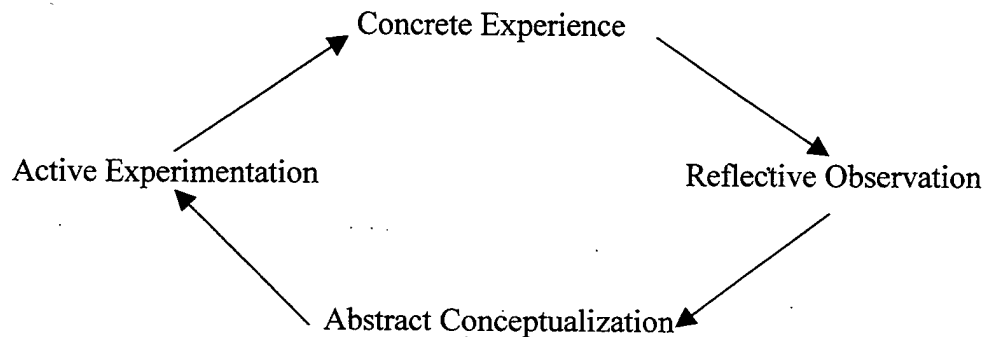


Figure 1: The Experiential Learning Model

Kolb et al. (1991) continues his analysis of the experiential learning model in the following quote:

A closer examination of the four-stage learning model would suggest that learning requires abilities that are polar opposites and that the learner, as a result, must continually choose which set of learning abilities s/he will bring to bear in a specific learning situation. More specifically, there are two primary dimensions of the learning process. The first dimension represents the concrete experiencing of events at one end and abstract conceptualization at the other. The other dimension has active experimentation at one extreme and reflective observation at the other. Thus, in the process of learning one moves in varying degrees from actor to observer, from specific involvement to general analytic detachment. (p. 150).

With the previous paragraphs in mind, the following subsections provide a detailed explanation of the four experiential learning quadrants.

*a) Concrete Experience*

Concrete experience "...emphasizes feeling as opposed to thinking, a concern with the uniqueness and complexity of the present reality as opposed to theories and generalizations, an intuitive "artistic" approach as opposed to the systematic, scientific approach to problems." (Kolb et al, 1991; p. 62). Pintrich and Schunk (1996) use the term "enactive learning" to describe experiential learning. Enactive learning describes the learning that occurs when an individual performs actions and experiences the consequences of those actions. If the consequences are desirable, the individuals will keep the lessons for future reference.

Boyatzis et al. (1995) and Gross (1991) also support the importance of concrete experience. Generally speaking, experience is a significant learning resource. As such, individuals use relevant prior experience to review lessons learned and apply these lessons to current situations. Mezirow's (1991) transformative theory explains how

experiences strengthen interpretations that are used in future situations. Furthermore, Silbermann's (1996) active learning paradigm advocates experiential classroom activities to increase retention and facilitate quick memory recall.

Astin's (1984) involvement theory stresses the importance of students' learning through involvement in formal and informal activities provided by the learning environment. According to Astin, the purpose of higher education is to get students involved with faculty and peers to facilitate individual and collective learning.

A good example of experiential involvement is the proverbial extra-curricular activity (ECAs) (Pascarella & Terenzini, 1991). This student-peer-faculty interaction provides students with opportunities to get involved with their peers and the organizational environment on a quasi-informal level. Pascarella and Terenzini provide a more detailed analysis of ECAs as they relate to leadership:

Extracurricular involvement, particularly in leadership positions, has at least modest implications for one's career. This may stem from the fact that such involvements enhance self-confidence along with interpersonal and leadership skills...Similarly, alumni are reasonably consistent in reporting that involvement in extracurricular activities, particularly in leadership roles, significantly enhanced interpersonal and leadership skills important to job success. (p. 624)

#### ***b) Reflective Observation***

Gross (1991) and Mezirow (1991) define reflection as the creation and transformation of knowledge through meaning perspectives. With this in mind, the reflective orientation "...emphasizes understanding as opposed to practical application, a concern with what is true or how things happen as opposed to what is practical, an

emphasis on reflection as opposed to action” (Kolb et al., 1991; p.62). The reflection process allows an individual access to all of his or her previous experiences. Through reflective observation, the self-directed learner can link these experiences into a coherent theory that can be used in the present situation (Boyatzis et al., 1995). Silbermann (1996) explains the reflective process:

To process information effectively, it helps to carry out such reflection externally as well as internally. If we discuss information with others and if we are invited to ask questions about it, our brains can do a better job of learning (p. 5).

**c) *Abstract Conceptualization***

Abstract conceptualization “...focuses on using logic, ideas, and concepts. It emphasizes thinking as opposed to feeling, a concern with building general theories as opposed to understanding intuitively unique, specific areas, a scientific as opposed to an artistic approach to problems” (Kolb et al., 1991; p. 59). Silbermann (1996) posits that learning occurs in waves. As such, an experiential learner needs exposure to several different experiences and observations before developing an abstract concept. He describes the process in the following quote:

To retain what has been taught, students must chew on it. A teacher cannot do the mental work for the students because they must put together what they hear and see into a meaningful whole. Without the opportunity to discuss, ask questions, do, and perhaps even teach someone else, real learning will not occur (Silbermann, 1996; p. 4).

*d) Active Experimentation*

According to Kolb et al. (1991), this orientation "...focuses on actively influencing people and changing situations. It emphasizes practical applications as opposed to reflective understanding, a pragmatic concern with what works as opposed to what is absolute truth, an emphasis on doing as opposed to observing" (p. 62).

Silbermann (1996) hypothesizes that increased student participation in classroom activities will increase learning retention because the students will be able to experiment with concepts and ideas. Astin (1984) illustrates how the active experimentation component works in student-faculty and student-peer involvement by giving the undergraduate learner the opportunity to experiment with different emotions, behaviors, and cognitive processes (Pascarella & Terenzini, 1996).

Although all of the experiential learning processes are not mentioned in the leadership literature, the management theorists make several references to the four-stage cycle in their individual analyses. For example, Bennis and Nanus (1997) and Maxwell (1995) stress the importance of concrete experience as the basis for learning leadership. Adair (1983), Donnithorne (1994), and Cassel (1975) emphasize the role of cognitive complexity and reflective judgment in learning leadership principles.

Donnithorne and Maxwell support formal classroom instruction as a vehicle for facilitating theory development (i.e., abstract conceptualization). Bennis and Nanus (1997), Bennis and Goldsmith (1994), and Maxwell explain the importance of experimenting with a variety of leadership styles as a way to gain a thorough understanding of leadership principles.

## **2. Observational Learning**

Bennis and Nanus (1997), Adair (1983), and Donnithorne (1994) believe that individuals learn leadership by observing other individuals and mimicking their behaviors. This belief is consistent with the reflective observation theory and the observational learning theory presented in the previous subsection (Boyatzis et al., 1995; Kolb et al., 1991; Pintrich & Schunk, 1996). With this in mind, this subsection integrates leadership theory with observational learning theory by (1) addressing the modeling process and (2) presenting the characteristics of effective models.

### ***a) Modeling Processes***

Pintrich and Schunk (1996) believe modeling is a vicarious learning process initiated by watching a role-model. In this learning system, the modeling process occurs whenever individuals change their behavior, cognition, or feelings because of something they saw. This learning style accelerates the learning process because prospective learners do not have to personally experience negative consequences. Boyatzis (1995) shows how the modeling process facilitates learning by imitation. Specifically, the observation process "...helps a person to picture how the new, desired or potential ideas, behaviors, processes, or analysis may appear in use." (Boyatzis, 1995; p. 239).

Modeling induces learning through several primary functions: (1) inhibition/disinhibition, (2) response facilitation, and/or (3) observational learning (Pintrich & Schunk, 1996). The inhibition/disinhibition function facilitates learning by creating the expectations that the observer will experience the same consequence as the

model. The response facilitation function increases learning by prompting the observers to perform behaviors that are similar to the model's behaviors. Through this function, the socially acceptable behaviors are repeated because the observers are motivated to perform the same actions as the models. Finally, the observational learning function increases learning because it provides observers with new behaviors (Pintrich & Schunk, 1996). Thus, observers are able to mimic a behavior that would not have been possible without a model's specific example.

In addition to the primary functions described above, the observational learning subprocess increases the range and rate of learning through four subordinate functions. The subordinate observational learning processes are (1) attention, (2) retention, (3) production, and (4) motivation (Pintrich & Schunk, 1996).

In the observational learning sub-function, observer attention is based upon the perceived meaning and functional value of the model's action (Mezirow, 1991; Pintrich & Schunk, 1996); the attention level is influenced by multiple media (i.e., visual, verbal, etc.) and distinctive features such as size, shape, color, etc. (Pintrich & Schunk, 1996). For example, an aviation candidate will pay significant attention to aircraft take-off and landing procedures because these activities are important to the flight student and central to the student's ultimate goal---to qualify as a Naval Aviator. During the specific training, the aviation candidates will pay more attention to the topic area if the instructors use multiple media (i.e., power point presentation, pictures, traditional lectures, and handouts) to teach the take-off and landing procedures.

According to Mezirow (1991) and Pintrich & Schunk (1996), observer retention is the process of transforming the observed information into memory storage and mentally rehearsing the requested behavior. This observational sub-process is influenced by the same factors that contribute to attention. Once these memories are stored as images, they can be used to perform complex motor skills and/or used as verbal cues to engage cognitive skills (Mezirow, 1991; Pintrich and Schunk, 1996).

Production is the process of transforming the recorded visual and verbal information into specific behavior (Pintrich & Schunk, 1996). If the information is recorded and produced correctly, the observational learner should be able to perform the desired behavior without difficulty. If not, the observational learner will need guided practice and corrective feedback to facilitate and master the desired behavior (Gross, 1991; Pintrich & Schunk, 1996).

Finally, motivation is the force that causes an individual to perform a specific action (Boyatzis et al, 1995; Kolb et al., 1991; Pintrich & Schunk, 1996). According to Gross (1991) and Silbermann (1996), motivation and learning occur when the student's needs are addressed (i.e., comfort, safety, reciprocity, etc.) Once these prerequisites are incorporated into an overall paradigm, the observational learner will be motivated to repeat actions that have been successful for themselves and their models (Pintrich & Schunk, 1996).

*b) Characteristics of Effective Models*

The observational learner will extract knowledge from an instructor if the model possesses the following characteristics: (1) competence, (2) perceived similarity, (3) credibility, and (4) enthusiasm (Pintrich and Schunk, 1996).

“...Perceived model competence aids observational learning because students are more likely to attend and pattern their actions after models who perform successfully rather than those less competent.” (Pintrich & Schunk, 1996; p. 167). In this situation, competence can be achieved through specific demonstrated behavior (i.e., an instructor presents the correct answer to a student) or through perceived positional importance (i.e., a child accepts a mistake from an adult, but still listens to the adult because of the adult’s “position.”). Once the model has established competence, the observational learner should be able to improve his or her functional behavior as long as the “high status” model is truly competent. If the perceived competence is not reinforced by the model’s behavior, the observational learner may not learn correctly, and the model may eventually lose their “perceived status.”

Observational learners will tend to model individuals with similar characteristics because the observational learners believe the model’s actions are “...socially appropriate and will produce similar results.” (Pintrich & Schunk, 1996; p. 168). If an individual is unsure about the functional value of a task, the observational learner will look to peer models for the appropriateness of a particular behavior. For example, children observe peers when they are unsure about what to do. This is because children are closer to other child models than they are to adult models. As a result, the

perceived similarity theory explains why children model other same-sex children. In these situations, when a child is uncertain about gender behavior, he or she will look to other same-sex peers for guidance because these behaviors have been rewarded in the past (Pintrich & Schunk, 1996). With this in mind, the best role model for an individual is a peer who is equal to, or slightly better, than the observational learner (Pintrich & Schunk, 1996).

“Models who act consistently with the behaviors they model are more likely to be judged by observers as credible and to be emulated than are those models who model one action for observers but behave otherwise themselves.” (Pintrich & Schunk, 1996; p. 170.) These consistent behaviors allow the model to establish credibility with the observational learners. For example, moral reasoning and cognitive complexity are developed most effectively when students are interacting with models (i.e., student role models) who exhibit the desired behavior and thought process (Pascarella & Terenzini, 1991).

Observational learners pay more attention to enthusiastic models than non-enthusiastic models (Pintrich & Schunk, 1996). The increased attention level improves retention and enhances the learning process. In essence, improved learning occurs because enthusiastic models tend to increase the student's motivation and perceived task importance.

### **3. Individual Learning**

Adair (1983), Lynch, Kitchener, and King (1995), and Bennis and Goldsmith (1997) believe that students can learn leadership principles by participating in self-

directed leadership development programs. This hypothesis is consistent with Kolb's et al. (1991) assumptions about adult learning and Boyatzis' et al. (1995) thoughts on experiential learning processes. The individual learning approach also lends credence to Pintrich and Schunks' (1996) observational learning theory because the observations, reflections, and interpretations normally take place on an individual level. With these thoughts in mind, this subsection presents (1) Boyatzis' et al. self-directed learning theory and (2) Gross' (1991) peak learning theory.

**a) *Self-directed Learning***

Self-directed learning is an individual learning approach that places control of the learning process directly into the hands of the student learner (Boyatzis et al., 1995). Self-directed learning allows students to build upon their current capabilities and experiences by choosing learning activities that are suited for their individual learning style. Specifically, the self-directed student completes the following steps: the student (1) conducts a self assessment of his or her present abilities; (2) establishes a goal; (3) student develops a plan to achieve the goal; (4) takes action to move from the real state to the ideal state; and (5) conducts an ongoing assessment of the discrepancy between real and ideal states (Boyatzis et al., 1995; Pascarella & Terenzini, 1991).

The self-directed learning process removes responsibility for change from teachers and places control in the hands of the students (Boyatzis et al., 1995). If the students are able to master this process, they will be able to use their life experiences and their work experiences as learning opportunities. In theory, self-directed changes remain

with the student after the completion of the formal educational program (Boyatzis et al., 1995).

#### ***b) Peak Learning***

Gross (1991) presents peak learning as a specific example of self-directed learning. This growth process, which can be used by students in traditional situations or self-directed learning, is based upon the assumptions mentioned by Boyatzis et al. (1995) and Kolb et al. (1991). Peak learning is (1) tailored to adult needs, (2) synthesizes psychological techniques and diverse learning resources, and (3) accommodates individual learning styles. In addition, peak learning requires the student learner to set goals, write plans, and tailor plans to his or her individual learning style. With this in mind, peak learning, as an example of self-directed learning, is the most important non-institutional education a person can receive because the system provides individuals with a lifelong skill that can be applied to any subject area (e.g., leadership theory)(Gross, 1991; Boyatzis et al., 1995).

#### **4. Interactive Learning**

Edgar Schein (1992) believes that individuals learn lessons from their organizational culture. The process is explained in the following formal definition: culture is...

A pattern of shared assumptions that the group learned as it solved the problems of external adaptation and internal integration, that has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems (Schein, 1992; p. 279).

Schein's (1992) culture theory is consistent with the notion of interactive learning because it acknowledges the interaction that takes place among the old and new organizational members. The cultural learning methodology integrates experiential learning, observational learning, and self-directed learning into a coherent theory that can be used to explain the way organizations learn leadership (Boyatzis et al., 1995; Kolb et al., 1991, Pintrich & Schunk, 1996; Gross, 1991; Schein, 1992). The cultural approach to learning is consistent with Pascarella & Terenzini's (1991) interactive learning paradigm. Given the relationship between cultural learning and interactive learning, this subsection reviews (1) the theory of involvement, (2) the theory of student departure, and (3) the model of undergraduate socialization. Furthermore, this subsection synthesizes the interactive learning concepts with ideas from active learning, self-directed learning and peak learning.

**a) *Learning Models***

Astin's (1984) theory contains five concepts. The concept are as follows: (1) involvement requires the student to expend physical and psychological energy while completing tasks; (2) the level of involvement will vary from student to student and from task to task (i.e., different students will use different amounts of energy during different involvement tasks); (3) the student involvement process includes quantitative and qualitative components; (4) the amount of learning is based upon the level of student involvement; and (5) institutional policies that facility student involvement will be more effective than other educational policies. As a result, the institutional environment,

which includes psychological and sociological motivators, influences student development by providing the individual with the opportunity to get involved in formal and informal programs (Pascarella & Terenzini, 1991).

Tinto (1975) believes that students come to college with a diverse range of characteristics. These characteristics, which include socio-economic status, academic skills, religious dispositions and personal goals, serve as the starting point for the college integration process. During the collegiate years, university student development is influenced by interactions between their individual characteristics and the institution's structures. In this system, certain actions are rewarded while other actions are discouraged. Under the system of rewards and punishments, positive rewards facilitate integration (i.e., the move toward the normative values and attitudes of peers, faculty, and the institution). Conversely, negative rewards (e.g., bad interactions and experiences) impede integration and may ultimately cause a student to leave the college or university (Pascarella & Terenzini, 1991).

In Weidman's (1989) model, external normative pressures as well as unique background characteristics influence student change and social development. The normative pressures include parental pressures, peer pressure, potential employee expectations, and community norms. While these pressures motivate the students toward certain activities, the normative forces also limit some student choices. The external-normative influences can be formal or informal and can be exerted through academic or social interactions with faculty, peers, or non-college individuals (Pascarella & Terenzini, 1991).

The college development models, discussed in the previous subsection, have several characteristics in common. First, educational development occurs within a particular social context (Boyatzis et al, 1995; Mezirow, 1991). Second, institutional structure and institutional environments serve as the catalyst for student change and student learning. Third, students are active participants in their individual learning processes (Boyatzis et al., 1995; Gross, 1991). Finally, the environment can create “change-inducing encounters;” however, the ultimate responsibility for learning remains with the student (Boyatzis et al., 1995; Gross, 1991; Pascarella & Terenzini, 1991).

***b) Interpersonal Involvement***

Mezirow’s (1991) theory identifies meaning and understanding as social constructs. With this in mind, interpersonal involvement facilitates learning by placing the individual in a social context (Silbermann, 1996). The social context gives students the opportunity to become involved with their peers. Peers are used as additional learning resources because they provide students with the support to take intellectual challenges (Gross, 1991; Silbermann, 1996).

Furthermore, interactive learning allows students to share their experiences, which will lead to collaboration if the students are not required to compete with each other (Boyatzis et al., 1995). Through time, this collaboration and social interaction can permeate the learning organization and improve student retention. Silbermann (1996) describes the benefits of social learning in the following quote:

Collaborative learning activities help to drive active learning. Although independent study and full-class instruction also stimulate active learning, the ability to teach through small-group cooperative activities will enable you to promote active learning in a special way. What a student discusses with others and what a student teaches others enables him or her to acquire understanding and master learning. (p. 6).

The college experience is impacted by the amount of interpersonal interactions with socializing agents (i.e., faculty and peers)(Pascarella & Terenzini, 1991). Student-faculty interactions include traditional-classroom involvement as well as nontraditional and non-classroom interactions. These formal and non-formal interactions increase learning through intellectual development, social and political liberation, personal autonomy and independence, personal growth, and educational attainment (Pascarella & Terenzini, 1991). When this interaction is coupled with clearly defined goals and feedback, the overall quality of the learning experience improves (Gross, 1991).

Moreover, student-peer interactions have an enormous effect on individual cognitive, behavioral, and affective development (Pascarella & Terenzini, 1991). These interactions increase learning through political, social, and religious orientation; general maturity; moral development; and interpersonal development. In the interactive system, peer involvement facilitates change by encouraging students to challenge conventional beliefs and ways of thinking. In short, intellectual development and learning are based on the amount of energy (i.e., academic involvement) that an undergraduate expends while doing academic work; and, the amount of psycho-social and affective development are

based upon the student's level of interpersonal involvement (Pascarella & Terenzini, 1991).

Given the potential impact of the two interpersonal influences, the student-peer interaction has a greater impact on attitudinal and psycho-social development, while student-faculty interaction has a more significant impact on learning and cognitive development. Furthermore, learning retention is enhanced "...when academic, interpersonal, and extracurricular involvements are mutually supporting and relevant to a particular outcome." (Pascarella & Terenzini, 1991; p. 626).

#### **E. SUMMARY**

This chapter has (1) reviewed the formal definitions of leadership and learning, (2) suggested that individuals are capable of learning leadership, (3) identified the processes that individual use to learn leadership, (4) presented the principles of adult learning, and (5) provided a detailed explanation of the contemporary learning literature (i.e., experiential learning, observational learning, individual learning, and interactive learning). With the relevant literature in mind, the interviewer has established a theoretical nexus between the sources of learning and the processes an individual can use to learn leadership. In the next chapter, the researcher describes the processes used to obtain qualitative data from Naval Academy Midshipmen, Naval Postgraduate School students, and Naval Academy leadership instructors.

### **III. GO FORTH AND QUESTION**

Go forth now. Go forth and question. Ask and listen. The world is just beginning to open up to you. Each person you question can take you into a new part of the world. For the person who is willing to ask and listen, the world will always be new. The skilled questioner and attentive listener knows how to enter another's experience (Patton, 1980; p. 196).

#### **A. INTRODUCTION**

The above quote emphasizes the power of qualitative research (Patton, 1980). By using qualitative data obtained through guided conversations, students and professional researchers can develop a broad understanding of a particular phenomenon. In addition, the qualitative process provides the researcher with a deep understanding of people's lives and experiences (Patton, 1980). With these thoughts in mind, Chapter III presents the qualitative methodology used in this master's thesis. Specifically, this chapter includes a description of (1) the interview population, (2) the interview protocol, (3) the data collection methods, and (4) data analysis methods.

#### **B. DATA COLLECTION METHODS**

The data were obtained from in-depth interviews conducted with 25 Naval Academy personnel. The sample included 18 Naval Academy midshipmen, five Naval Postgraduate School (NPS) graduate students, and two Naval Academy leadership instructors. Appendix A provides the race and gender, academic grade point average, and military performance grades for the midshipmen sample. Appendix B provides the race and gender, the undergraduate major, and the warfare specialty for the graduate students

and the leadership instructors. The midshipmen interviewees were picked by their respective Company Officers. The Company Officers did not use an objective criterion to select the interviewees; however, they did attempt to provide the researcher with a cross-section of personnel (i.e., high academic and performance grades vs. low academic and performance grades, males and females, etc.) The NPS graduate students and the leadership instructors were personally identified by the researcher. With this group, the researcher attempted to select a cross-section of undergraduate majors and warfare communities (i.e., engineers vs. liberal arts, surface warfare vs. aviation, etc.) After the interviewees were identified, the researcher contacted them via electronic mail and gave them a preliminary description of the thesis project. At this time, the researcher and the interviewees scheduled a time and location for the interviews.

### **C. INTERVIEW PROTOCOL**

The researcher conducted the interviews using Patton's (1980) standardized open-ended interview. The researcher used this approach so that the interviewees would be able to discuss any additional matters related to the general question. Appendix C provides the midshipmen interview protocol, and Appendix D provides the graduate student and leadership instructor protocol. The researcher conducted two pilot interviews to test and refine the interview protocol. In addition to the basic interview protocol, the researcher asked probing questions to clarify interviewees' responses. Throughout the entire interview process, the information obtained from the earlier interviews was incorporated into the revised protocol and used in subsequent interviews.

This approach was designed to continually improve the interview protocol and data collection processes.

In general terms, individuals seem to be more comfortable exchanging stories with peers than they are exchanging stories with superior officers. On one hand, the qualitative interviews with the graduate students and the leadership instructors were relatively simple. In these interviews, the author discussed leadership learning with classmates, peers, and mentors; and, individuals provided the researcher with candid responses and concrete examples.

On the other hand, the initial phase of the midshipmen interviews was relatively difficult. This is because the midshipmen culture has taught these individuals to be skeptical of the officer corps. To combat this problem, the interviewer engaged the midshipmen in casual conversations for approximately 10 minutes before moving to the interview protocol. In addition, the interviewer made the midshipmen feel comfortable by keeping the interview conversational in nature. These two style modifications created a relaxed atmosphere for the midshipmen and improved the quality of the interview data.

#### **D. DATA ANALYSIS**

The interviews were recorded on audio cassettes. After the interviews were completed, the audio cassettes were transcribed verbatim to facilitate data analysis. Once the interviews were transcribed, the researcher compiled the data on templates. Appendix E provides the midshipmen data template and Appendix F provides the data template for graduate students and leadership instructors. The templates were analyzed using Glaser and Strauss' (1967) constant comparison method of qualitative analysis. This data

methodology allowed the researcher to identify trends and recurring ideas associated with the research questions. By analyzing the recurring trends and ideas, the researcher was able to identify overall themes.

With this in mind, Chapter IV presents eight themes obtained from the data analysis. These themes are supported with specific quotes from the midshipmen, the graduate students, and the leadership instructors.

#### **IV. THE HARD LESSONS OF EXPERIENCE**

For he had learned some of the things that every man must find out for himself, and he had found out about them as one has to find out, through errors and trial, through fantasy and delusion, through falsehood and his own damn foolishness, through being mistaken and wrong and an idiot and egotistical and aspiring and hopeful and believing and confused. As he lay there, he had gone over his life, and bit by bit, had extracted from it some of the hard lessons of experience (Wolfe, 1981; p. 80).

##### **A. INTRODUCTION**

In the introductory quote, Thomas Wolfe (1981) provides the reader with an eloquent description of experiential learning processes. His description acknowledges the significance of experience, reflection, abstract thought, and experimentation as fundamental components of adult learning (Boyatzis et al., 1995; Kolb et al., 1991). Rooted in the adult development literature, the experiential learning processes apply to leadership learning, as well as, adult development. For example, Pascarella and Terenzini (1991), Bennis and Nanus (1997), and Maxwell (1995) believe that individuals use their personal experiences to learn leadership. The theorists' hypotheses are consistent with the learning literature's theory that adults use concrete experience as the basis for their learning (Boyatzis et al., 1995; Kolb et al., 1991; Gross, 1991; Mezirow 1991).

With this in mind, Chapter IV presents eight themes generated from the data using Glaser and Strauss' (1967) constant comparison method. The themes are supported with specific quotes from the midshipmen, graduate students, and leadership instructors; interview data reflect the literature presented in previous chapter. Although the interview

data include formal and informal leadership experiences, good and bad role models, diverse leadership styles, and personal leadership theories, it is important to note that the primary intent of this research assignment is to foster an understanding of the learning processes (i.e., how do midshipmen learn leadership?) rather than the substantive leadership lessons (i.e., what are the midshipmen learning about leadership?). As such, all eight themes focus on the process of leadership development and can be grouped into three distinct categories.

Themes I - V suggest midshipmen use the following processes to learn leadership: (1) personal experience, (2) observation, (3) reflection, (4) experimentation, and (5) interaction with socializing agents. In Themes VI - VII, the data suggest midshipmen learn poor attitudes and behaviors from the (6) organization culture; and, midshipmen do not retain leadership lessons presented by the (7) formal curriculum. In Theme VIII, the data suggest graduate students and leadership instructors use a systems approach to learn leadership.

**B. THEME I: MIDSHIPMEN LEARN LEADERSHIP LESSONS FROM FORMAL AND INFORMAL SUPERVISORY EXPERIENCES**

**1. Theme**

Midshipmen use personal experience to learn leadership lessons. These personal experiences are created while the midshipmen perform supervisory functions in the formal and informal organizational structures. The formal structure includes the supervisory billets connected with the military chain-of-command and four-year leadership continuum that exist within Bancroft Hall. In this structure, midshipmen

receive leadership experience while serving in (1) Striper Positions (i.e., Battalion Executive Officer and Company Commander), (2) Squad Leader billets, and (3) pre-academy enlisted assignments.

The informal structure includes the supervisory billets that exist outside the military organization. In this structure, midshipmen receive leadership lessons while serving as (1) Sunday School teachers and (2) Extra-Curricular Activity (ECA) officers; midshipmen also learn leadership lessons from their (3) pre-academy work assignments.

## **2. Justification**

During the interview sessions, the researcher asked the midshipmen to describe their leadership experiences. One hundred percent of the midshipmen sampled had a supervisory billet in the formal and/or informal structures. As a result, the midshipmen were able to describe their supervisory billet, their leadership experience, and the concomitant leadership lessons learned. Specific examples are provided in the subsections below.

Individuals learn important leadership lessons from their personal experiences. In interview #1, MIDN A identifies the academic year Company Commander and Company Executive Officer (XO) billets as good assignments for leadership development. The midshipmen who hold these billets learn numerous leadership lessons. Among these are the ability to delegate undesirable assignments to their subordinates.

I think the most valuable billet as far as leadership goes, is probably Company Commander [and] Company XO. They're the ones who actually have to take stuff from the higher ups and apply it directly to people that they know well. [They] say, "The Lieutenant says we have to do this, so we're going to have to do this...I know, nobody likes it but...I'm the one telling you...you have to do it."

MIDN L, a fourth-year student, learned a leadership lesson from the experience received while serving as Company Commander. During his supervisory period, the senior midshipmen learned that his actions contributed directly to the morale of the company. In interview #12, MIDN L describes the leadership lesson he learned from this experience.

I think I'm different than some mids, in that I've had a lot of leadership opportunities...I did detail and I'm Company Commander and I wouldn't trade my job as Company Commander for any striper position. Because I deal...with people every day and...my actions...indicate the morale of a 130 people.

MIDN E learned a leadership lesson from experience she obtained while serving as Naval Academy Preparatory School (NAPS) Battalion XO. In this billet, she learned that individuals who are responsible for enforcing rules must also follow the rules (e.g., leadership by example). In interview #5, MIDN E describes the lesson she learned from this experience.

First of all, I had to make sure that I followed all of the rules, because being in the XO position I had to enforce the rules. It was really a strange experience calling out my peers on what they were doing wrong and a lot of people didn't like me because of it. I had to learn...that if I was going to enforce the rules there were going to be a lot of people who didn't really agree with me...I thought that was a really good learning experience.

MIDN A learned a leadership lesson from experience received while serving as Company Commander. During fourth-class year, MIDN A learned that she could increase unit effectiveness by participating in the same tasks that she assigned to her subordinates. In interview #1, MIDN A describes the lessons she learned from this supervisory experience.

I was Company Commander, plebe year, first semester... I found that it's always easier to get people to do something if you're doing it. [I would] say, "I need two other people to come with me to do this [or] I need eight other people...to come out and do boards." As long as you're doing it, people don't see you as assigning them to do it; they see you as needing [them] to help you.

MIDN F learned a leadership lesson from the personal experience received during his pre-academy enlisted service. Specifically, this third year midshipman learned that leaders need to do some "dirty work" in order to maintain credibility among their subordinates. The story is presented in interview #6.

I enlisted and that was when the leadership started kicking in...I would bone my friends equally...[and] I'd bone myself too. I realized that, if I took an awful watch every now and then, there would be a lot more happiness in the group.

MIDN G learned leadership behaviors from experience received while serving as a Squad Leader. For example, he learned organizational skills during the summer supervisory period. These skills included the ability to inspect personnel, organize meetings, inventory gear, and distribute information.

I've done the NTT Squad Leader role...You have a leadership role and it was really good, because you learn so much just from the experience. For example, just before formation,...I'd go around to every person's room and make sure they knew what we were doing for the next few hours or the next few training sessions. I'd make sure they knew what was going on. I'd try to have meetings with them. I'd make sure they had all their gear, they knew how to wear it, what to do with it, [and] what time we were gonna meet.

As the evidence indicates, the formal structure provides midshipmen with good leadership experiences. These experiences are gained from supervisory assignments associated with the military chain-of-command. Although the military billets contribute to midshipmen leadership development, informal supervisory assignments are also important. In the informal structure, midshipmen learn to influence groups toward goals in a setting where they do not have formal authority over the individuals in that informal organization. MIDN A believes the informal structure facilitating leadership development by teaching individuals how to deal with their peers in non-military settings.

I think from the informal structure you learn more interesting things. In the formal structure, [you] get to see exactly what you're supposed to do with your plebe and how to lead some of these guys after that [plebe year] is over. In the informal structure, you learn more about leadership when among your peers. I think it's got more applicability.

MIDN G believes midshipmen learn leadership lessons from experience received while holding extra-curricular activity (ECA) officer billets. These informal leadership opportunities facilitate leadership development by reinforcing the organizational skills developed within the formal structure. In interview #7, MIDN G describes the organizational tasks an ECA officer completed while preparing for an ECA troop movement.

Our secretary...planned out this [movement order]. [During the process, he]...rented the vans, prepared where we're gonna stay, how much per diem we're gonna get, and all that stuff.

MIDN B learned leadership lessons from experience received while working with his grandfather. MIDN B used this pre-academy employment period to develop organizational and supervisory skills. The anecdotal evidence is presented in interview #2.

Well, I think my organizational skills were on a pretty high level at the beginning...and that comes from a lot of experience before I got here. My grandfather owned a garage, service station, auto-body shop. By the time I was fifteen years old,...I was working in the front office and he took off on a golf tournament for two weeks. I was taking home the money. I would pay the guys' salaries. I was taking the unit work. I worked for him before that summer [and] I worked for him after that summer...So, I had a lot of experience.

MIDN A learned several leadership lessons from experience received while teaching a Sunday School class. During this voluntary assignment, MIDN A learned how to (1) construct an activity-based training plan, (2) teach children, and (3) train the future instructors (i.e., the Plebe teachers). MIDN A describes the leadership lessons she received from her teaching experiences in the passage below.

The three youngsters are in charge of making sure we've got some sort of lesson planned out. We've got 15 seven to eight year olds that are ready to just go wild on Sunday morning [because] it's the weekend...You've gotta be able to exert some kind of control and at the same time you're trying to teach the plebes...exactly what they're supposed to be doing so that next year, [so] they'll be able to work classes of their own.

**C.     THEME II: MIDSHIPMEN LEARN LEADERSHIP BEHAVIORS BY OBSERVING ROLE MODELS**

**1.     Theme**

Midshipmen learn leadership behaviors by observing good and bad role models. These observations, which occur inside and outside of the military chain-of-command, come from a variety of sources. Inside the formal organization, the midshipmen observe the following role models: (1) Battalion Officers, (2) Company Officers, (3) Senior Enlisted personnel, and (4) Squad Leaders. The midshipmen also observe several role models outside of the military chain-of-command. The informal role models include (5) parents, (6) coaches, (7) martial arts instructors and (8) peers.

**2.     Justification**

During the interview sessions, the researcher asked the midshipmen to identify good and bad role models. One hundred percent of the midshipmen sample identified roles models in the formal and informal structures; these midshipmen learned the following leadership lessons while observing good and bad role models: concern for subordinates, consistency, fairness, professional competence, perseverance, time management, confidence, and work ethic. The empirical evidence is presented in the data section below.

MIDN G, a sophomore, believes that the Naval Academy's formal structure provides midshipmen with good role models. In interview #7, MIDN G identifies both officers and midshipmen as role models.

I think, for the most part, you get good role models when you're in Bancroft Hall. Be it an officer, an upper class, an instructor, whoever, it's basically a good role model.

The majority of the midshipmen sample agreed with MIDN G. These midshipmen were able to identify several good role models within the formal organization (i.e., chain-of-command). MIDN E, for example, learned leadership behaviors by observing her Battalion Officer. In interview #5, MIDN E, a senior, describes the Battalion Officer's knowledge of her personal situations and his attempt to guide and teach leadership to the people in his battalion.

My Battalion Officer is Commander X. He is...very inspiring to a lot of people. He really seems to know his people...Even though he has some six or seven hundred people under him, he still takes the time to stop and talk to people. He knows things about you. He's dealt with me on issues that weren't just bad issues. He doesn't just seek us out when something's going wrong. He sends us e-mails on a weekly basis...just telling us about leadership, servant leadership, leadership by example, [and] things like that. His e-mails really make you think. I would say that he is a really good leader. He interacts with us well. He definitely sets a really good example.

MIDN M, a senior, learned consistency by observing his Company Officer. Throughout this process, MIDN M watched his Company Officer administer discipline to the company. In interview #13, MIDN M describes the way his Company Officer enforced accountability and conduct standards.

Plebe year, I had a Company Officer, Major X... [He] wasn't exactly looked upon fondly by some people because of the way he did things; [but] he was even across the board...If he was administering discipline in the company, he'd do it across the board and include, you know, the Firsties as well as the plebes if something messed up. He held the chain of command responsible for the actions of their subordinates.

MIDN D learned to "take care of her people" by observing her Company Senior Enlisted. During the observation period, this third-year student watch her Company Chief establish a good working relationship with his company by taking an active role in their lives. In interview #4, MIDN D describes her willingness to go to her Company Chief because of his approachable nature.

He's an awesome guy out of my old company---[my] Company Chief...Whenever you pass him in the hall, he's like, "Hey, how are you doing?"...He wants to be involved in his people's...lives. He wants to know how they're doing, how classes are going, [and] how things are going. When...the whole love chit thing came down, ...I went and talked to him about it first, because he [is] just the type of person that you...can approach...He's like, "Let me know what's going on, whatever you need, I'll help with it."

MIDN N learned professional competence by observing his Squad Leaders during plebe summer. By watching a good squad leader, MIDN N learned that people who know what they are doing can motivate their subordinates to perform at a high level. In interview #14, MIDN N describes how the second set Squad Leader made the plebes want to perform.

[The] first set of plebe summer detail, there were three Squad Leaders. There was one really good Squad Leader who wasn't my Squad Leader and the other two...were just terrible leaders... My entire squad would look to this other leader, this other Squad Leader behind us, and say, "God damn, I wish I was in his squad because he knows what he's doing." Second set came around and we had a Squad Leader that was so much better to us. When our Squad Leader yelled at us [during]...the first set we didn't care...The second set, when our Squad Leader yelled at us, we were crying. We were upset. It was shitty to have him yell at us because we cared what he thought.

The data presented above support the notion that midshipmen learn about leadership by observing people within their military chain-of-command; however, role models are not limited to the formal organization. The data presented in the following paragraphs suggest that midshipmen have role models outside of the formal chain-of-command. These informal role models are authority figures and have a significant effect on the midshipman's leadership development.

MIDN I, a first year student, learned persistence by observing his father. In interview #9, MIDN I describes his father's experience attempting to start a new business.

[He taught me] not to quit...Whatever you're doing, somebody's done it before you...My dad has a business he's trying to start up and I mean he's been working on this seven, I think it's seven years now, trying to start it...He's not giving up on it. He's put a bunch of money into it and a whole lot of time...while working his regular job...He hasn't given up on that, because he believes that, if God gave him this idea, he's gonna go with it.

MIDN Q learned time management and personal confidence by observing her mother. While growing up, this fourth-year midshipmen noticed that her mother did not waste time. Whenever MIDN Q's mother, a former naval officer, had a free moment, she filled the time by doing something productive. MIDN Q watched her mother continue to exude confidence when faced with adversity. In interview #17, MIDN Q describes leadership lessons she learned by observing her mother.

I think being in the Navy, she's kinda raised me with the Philippino culture that she knew and also with the military standards that she's learned. And it's always been like, if you have a minute you're doing something... You're not sitting around, not doing anything, twiddling your thumbs. You're doing something... She [also] taught me to be strong willed. That no matter what other people tell you, you can still believe in yourself and do what you need to do to survive.

MIDN B, a junior, learned to "be the best" by observing his crew coach. As a role model, the crew coach encouraged his team to strive for excellence and to learn from every situation. Through constant observation, MIDN B learned and internalized the coach's philosophy. In interview #2, MIDN B describes the lessons he learned by observing his coach's philosophy on life and the way the coach tried to convey values to the other athletes.

The coach for the [squad] was a very interesting person to take for role model. He was really the reason I stayed there as long as I did... He was in the Olympics or national team or whatever... He was a great roller [who] has this philosophy on life which is not uncommon around here: Everything that you do, do the best you can; learn from every situation, and things like that.... It's just like, "Wow!" This is the way this guy is. It is part of him and he's trying to make it part of you... That's awesome!

MIDN G, a second-year student, learned to treat his people well by observing his martial arts instructor. In this situation, MIDN G developed respect for his instructor because the instructor treated the students with respect. MIDN G describes his observations in interview #7.

And you respect him not just because he's a black belt, but because of the way he treats you. It's just a little bit different than Bancroft Hall... He's very quiet. He doesn't have to raise his voice at all. He won't raise his voice. He'll just sit there and he'll be very quiet until everyone quiets down and then he'll talk very calm.

MIDN D learned leadership behaviors by observing another female midshipman. During the observation period, this third-year student learned to be professional without being a "bitch." In interview #4, MIDN D describes her role model's grades, military performance, work ethic, and general personality.

She is.... my role model of what a female midshipman should be...She's professional all the time. She doesn't expect favors or better treatment because she's a female. She's incredibly smart. She has really good grades. She's a hard worker. She's an athlete and she's just a nice person. And it's obvious by talking to her and like seeing the way she acts that she knows what she wants. She knows what she has to do to get it, yet she's not like what you would like typify as being a bitch.

Throughout the interview process, the midshipmen identified numerous role models in the formal and informal organizations. For the most part, midshipmen use observational processes to assess good role moles; midshipmen remember the role model's actions and use these memories as the basis for their own leadership development. At the same time, midshipmen use observational assessment processes to evaluate bad role models. These "bad" roles models demonstrate behaviors that the midshipmen dislike and do not desire to emulated. The examples are presented in the paragraphs below.

MIDN L, a senior, learned to know his people by observing a supervisor who did not demonstrate the desired behavior. In interview #12, MIDN L describes a situation when the Company Officer did not recognize him.

I remember my Company Officer when I was a plebe. He didn't really know anyone in the company. I'd broken my nose when I was a plebe and I was trucking around with two black eyes for a couple of weeks. He didn't even know about it until we had a wiz quiz, you know, a urinalysis. I went in there and he said, "Oh my God, what happened to you?" I said, "Sir, I broke my nose a week ago!" And, you know, he was like, "Oh?" I think he kinda realized.

MIDN B also learned to know his people by observing a Company Officer who did not exhibit the desired behavior. In interview #2, this third-year midshipman identifies his Company Officer as a poor role model because the Company Officer did not interact with his troops and did not complete his formal counseling.

My Company Officer [has]... forgotten his desk over e-mail. He sends us 20 e-mails a week. [He] never counsels us even though that's something that Company Officer is supposed to counsel once a semester. He's supposed to get everybody in the company, [but] I've never been counseled by my Company Officer.

MIDN E learned to know her people by observing a Company Officer who did not display the behavior. Although he supervised the unit for three years, this senior did not believe the Company Officer could remember either her name or the names of her classmates. MIDN E presents her observations in the following passage:

He's been with my class for the entire three years, and I'm sure that he couldn't tell you all of our names. The only time that he's dealt with me has been for negative things, if I got in academic trouble or something like that. I've had a lot of family problems and, while I've been forced to go in a talk to him on some of the issues, he never seems to remember them.

MIDN H learned consistency by observing an individual who was being hypocritical. In interview #8, this third-year midshipman describes a situation when his

Company Commander held an individual accountable for a crime that the Company Commander was also committing.

Oh yea! My plebe year was an excellent example of bad leadership...When the...frying was going on back in the Hall, one of the guys was getting [in trouble] for dipping in the Hall;....but at the same time the company commander was hanging the Form Two, he had a dip in his mouth also. And you know that kind of gives a bad taste when you look up to an individual who's doing one of the same infractions that he's frying somebody else for.

MIDN A learned fairness behavior while observing a Company Commander who was not displaying the behavior. Throughout the observation period, this senior noticed the negative consequences of preferential treatment dispensed by supervisory personnel. In interview #1, MIDN A describes the Company Commander's lack of concern for the personnel outside of his personal clique.

There was a clique of Firsties in our company ... about eight of them. They'd just always hang out together; they'd even come down to meals after formation or five minutes later. Everything they'd do was together and everything he did as Company Commander was with this group of Firsties... He didn't really care about the rest of the company at all.

MIDN G, a second-year student, learned mediocrity by watching his Squad Leader. During his plebe year, MIDN G noticed that the people in his squad did not put much effort into their supervisory responsibilities. In interview #7, MIDN G describes his observations.

Plebe year, I was in a...lax squad first semester. They didn't raid us very often. They weren't too hard on us...and obviously a plebe's gonna love that; but now, looking back on it, ...the Squad Leader and a couple of other people, were not doing anything. They were just sitting there. All they were was someone to sit at the table with. You know, they counseled me when they had to counsel me. They wrote fitreps when they had to write fitreps, but other than that ..., they never came by and checked on me and ..., they had no idea what I was doing other than eating.

**D. THEME III: MIDSHIPMEN LEARN ABOUT LEADERSHIP BY REFLECTING ON THEIR PERSONAL EXPERIENCES AND OBSERVATIONS**

**1. Theme**

The first two themes suggest midshipmen learn leadership primarily through observation and experience. If the leadership lessons are relatively simple, the observation and experience processes are normally sufficient. If, however, the leadership lesson involves a dilemma that cannot be resolved quickly, midshipmen use another process. This process is called reflection. In reflective situations, midshipmen conduct cognitive case studies on the experiences or observations. Once the midshipmen have resolved the "dilemmas," the leadership principles solidify in their minds, and the lessons are retained (i.e., learned).

**2. Justification**

The researcher asked the midshipmen to reflect on their leadership dilemmas. In addition, the researcher asked the midshipmen to present the leadership lessons they received from their reflections, and to describe how they would have handled similar situations if the opportunity arrived. One hundred percent of the midshipmen were able to identify a specific leadership dilemma and the lessons learned; approximately 75

percent of the midshipmen provided specific actions that would have improved the situations.

MIDN M, for example, learned to separate the good experiences and observations from bad experiences and observations. By reflecting on good and bad experiences, midshipmen are able to shape their own leadership styles. As the midshipmen proceed through the Naval Academy's four-year leadership laboratory, they are able to use their personal reflections to guide their leadership experiments and their leadership development. MIDN M, a senior, describes the "good bag – bad bag" reflective approach in interview #13.

What I've learned here has been that... you have the good bag and a bad bag. You go through four years here, see the good things and see the bad things, and take them on board. That forms the style that you're gonna adapt and experiment with over the time here when you fall out of the follower position as a plebe [and] into a leadership position as a youngster [and]...as a second class.

MIDN B, a third-year student, learned the mentoring component of leadership by reflecting on an experience. During his reflection period, MIDN B described his relationship with one of the youngsters (i.e., sophomores) in his squad. In interview #2, MIDN B concludes that he could have done more to place this individual on right track.

There's a youngster in my squad right now who's got a real bad attitude... I had a formal counseling session with him at the beginning and I posed it to him and tried to get him on the right track. That was just thirteen, fourteen weeks where he's in my direct chain of command... Maybe, I could have done more. Maybe, I did the right amount. I don't know, but from my end, I kind of have this feeling I could or should have done more.

MIDN G learned about consistency while reflecting on his personal experience. As a supervisor responsible for training his subordinates, MIDN G did not treat his plebes the same. Specifically, this sophomore treated his good performers well and his bad performers poorly. After reflecting on this experience, MIDN G concluded that he should have treated both subordinates the same. MIDN G presents his reflections and conclusions in interview #7.

Don't treat a plebe differently than any other plebe. I should have treated the good plebe just how I treated the bad plebe... You can't just say, "Well he's a good plebe you know. I'll let him do whatever he wants;" [or] "He's a bad plebe, I'll regulate everything that he does." You know you have to meet in the middle and go from there.

MIDN C learned the importance of being yourself by reflecting on his classmate's experience. During our guided conversation, this sophomore described the problems one of his classmates had when the classmate tried to use a leadership style that was not congruent with his personality. In interview #3, MIDN C reflects on his observations and presents his analysis.

I know a youngster from last year... He's kind of a quiet guy... He's confident definitely, but... not a real loud guy... When he yelled, he sounded ridiculous, because you could tell it wasn't his thing... He came off like a complete loser because he was too...[intense] all the time--- always yelling. [He] lost some respect right off the bat, because people could tell that he was putting up a front [and] just being something that he wasn't.

MIDN L, a fourth-year student, learned about taking care of his people by reflecting on a bad experience. During plebe summer, another upperclass midshipman harassed some plebes in his squad by breaking a glass. One of the plebes in his squad

was injured during the incident; MIDN L was held accountable for the injury. After reflecting on this experience, MIDN L concluded that he should have prevented the injury to the plebe because he was responsible for the individual's safety and welfare. In interview #12, MIDN L presents his reflections and conclusions.

Well, I would prevent the injuries to the plebes... They've entrusted us to... carry them through the summer... They're not at liberty to step up and say, "Hey, you just fucked up!" So, they have to trust the fact that we're doing everything right and that we're not gonna put them in a...danger situation with safety and stuff. So, I wouldn't have allowed a plebe to get injured.

**E. THEME IV: MIDSHIPMEN LEARN LEADERSHIP BEHAVIORS BY ACTIVELY EXPERIMENTING WITH A VARIETY OF LEADERSHIP STYLES**

**1. Theme**

During their freshman year, first-year midshipmen (e.g., plebes) do not have any subordinates to supervise. As a result, these midshipmen extract most of their leadership lessons from their experiences, observations, and personal reflections. When they move from their freshman year to their sophomore year, second-year midshipmen are given supervisory responsibilities. From the time midshipmen assume this supervisory role until graduation, midshipmen learn by actively experimenting with various leadership techniques. These experiments, in turn, create new experiences and the upper-class midshipmen learn about leadership by reflecting on their experiments, experiences, and observations.

The Naval Academy provides midshipmen with several opportunities to "experiment" with leadership principles. The most significant ones are as follow: (1)

plebe summer detail, (2) summer seminar, (3) summer cruise assignments, (4) academic year training between the plebes and the upperclass, and (5) leadership billets.

## **2. Justification**

Throughout the interview process, the researcher asked the midshipmen to describe the evolution their personal leadership style. One hundred percent of the midshipmen sample described times when they “tested” various leadership techniques. These “leadership experiments” facilitated midshipmen leadership development by providing them with leadership lessons. For example, the midshipmen learned the following things while experimenting with leadership: (1) to develop a leadership style congruent with their personality, (2) to motivate personnel, (3) to foster a cooperative senior-subordinate relationship, and (4) to maintain control in supervisory situations.

MIDN C, a second year student, believes the Naval Academy provides midshipmen with opportunities to experiment with various leadership styles. The opportunities include summer seminar, plebe detail, and academic year relationships between seniors and subordinates. By experimenting with a variety of leadership techniques, midshipmen develop a leadership style that reflects their personality and supports mission requirements. In interview #3, MIDN C describes the opportunities for active experimentation.

There are opportunities. There's summer seminar. There's detail. There's when you're a squad leader your Firstie year [and when] you're [a] second class and have a few plebes under you. It's a lot of opportunities to try out different leadership styles. See what one works out best for you.

MIDN E used active experimentation while supervising midshipmen candidates at the Naval Academy Prep School (NAPS). The knowledge this senior midshipman received through active experimentation contributed to her personal leadership development because she learned how different people respond to different forms of motivation. In interview #5, MIDN E describes leadership lessons received while experimenting with different leadership styles.

I was a Squad Leader last summer. That was... a really good experience because I got like immediate feedback...on my leadership skills. I got the opportunity to try different things and see what different people reacted to. I got to see how people reacted to yelling, how people reacted to extra PT, how people reacted to you being nice to them, and to you asking for their input. Those things were all very important... We would purposely try different tactics just to see how they would respond... It was really interesting to see some of the responses that we would get..

MIDN C believes that midshipmen learn leadership by experimenting with different styles and techniques. During the interview, he describes an individual who learned leadership by actively experimenting with different leadership techniques during summer seminar.

One guy who did summer seminar [said]...he had a new group of guys from high school every week. And he said he consciously tried out different [styles]...He tried out being a yeller. He tried out being soft. He tried being a cool guy and tried all different stuff just to see what would work best...when he came back to the third class [year]...He discovered that [he should]...kind of go with what felt natural. Not a yeller, but not a softie either. Just being the kind of guy who got the job done. I expect...to do the same; as somebody you could talk to in a professional [way] and find interesting. Kind of like a happy medium between yelling and softness.

Although he was on the receiving end as a plebe, MIDN N, a second-year student, believes that midshipmen learn leadership through experimentation. In interview #14, MIDN N describes the way his supervisor experimented with a different leadership style and, as a result, improved their relationship and his learning.

He did something that I thought was awesome one time. For our morning come arounds, he would take me out [and] we'd PT... As we were running, we talked about the professional topic or something like that... He initiated that and I thought it was a really good idea; and, that was something that I would look forward to doing...because it was a whole lot better than standing around. First off, it was something different which was cool. Second off, it built more of a camaraderie between us. I had more respect for him than most plebes have for their second classes because we would do extra stuff...that was cool, that was leadership right there.

MIDN D learned to maintain control in the classroom by experimenting with various conduct enforcement techniques. This process taught her how to establish control over a group of Sunday School students and how to teach them during a time when they wanted to play. In interview #4, MIDN D describes the way the experimentation process contributed to her leadership development.

You can't just read from the book. You can't just follow the set curriculum. You have to go out of your way to make it interesting for them and to make them want to learn it and make them want to pay attention... Trying to keep their attention is really hard too... Sometimes I just had to yell. Sometimes I just had to say sit in your seats or we'll tell your parents, when they come to pick you up, how bad you were today.

To this point, the interview data suggest that midshipmen learn leadership through personal experience, observation, reflection, and active experimentation. These four processes, advocated by Kolb et al. (1991) and Boyatzis' et al. (1995) experiential

learning theory, are completed on the individual level (i.e., an individual midshipmen has an experience and extracts a leadership lesson by reflecting on the experience).

Although the individual learning method is valid, midshipmen also use interpersonal interactions and group processes to learn good and bad leadership behaviors. The next two themes will discuss interactive and group learning processes.

**F.     THEME V: MIDSHIPMEN LEARN GOOD LEADERSHIP BEHAVIORS  
BY INTERACTING WITH THE NAVAL ACADEMY'S SOCIALIZING  
AGENTS**

**1.     Theme**

Midshipmen learn about leadership by interacting with the Naval Academy's formal and informal socializing agents. In the formal chain-of-command, the socializing agents are the same individuals within the military chain-of-command: Battalion Officers, Company Officers, Senior Enlisted Advisors, Company Commanders, and Squad Leaders. In the informal organization, the socializing agents include coaches, teammates, and peers.

During socializing experiences, the midshipmen and the socializing agents have discussions about various leadership dilemmas; the midshipmen extract leadership lessons from the intellectual exchange. It is important to note that the interactive learning process is different from the experiential, observational, reflective, and experimental learning processes presented in the previous subsections. Those processes involve a single individual watching or participating in a leadership situation without specific guidance from a socializing agent. For example, a midshipman can learn a leadership

lesson by observing a good or bad role model; the midshipmen does not need to have any direct interaction with the role model. The interactive learning process, however, requires the midshipman to have a dialogue with one or more of the Naval Academy's socializing agents. The midshipmen use these interactive conversations as external reflections and extract leadership lessons from their personal reflections and the socializing agents' recommendations.

## **2. Justification**

One hundred percent of the midshipmen sample described situations where they interacted with one of the Naval Academy's socializing agents. The interactions facilitated midshipmen leadership development by providing midshipmen with the following leadership lessons: midshipmen learned to (1) appreciate an enlisted perspective, (2) compromise with others, (2) demonstrate concern for subordinates, (3) motivate teammates, and (4) absorb lessons learned from peers.

For example, MIDN P believes that interacting with enlisted personnel facilitates leadership development by giving midshipmen a different perspective on the Naval Academy and the fleet. In one situation, MIDN P was having a problem with a plebe who wanted to resign from the academy. She directed the first-year student to the Company Enlisted and watched their interactions. In interview #16, MIDN P describes how the interactions between her Senior Chief and her plebe; and how the interactions convinced the plebe to stay at the Naval Academy.

He wanted to resign from here but go enlist in the Navy... His brother was an enlisted Seal... I don't know what made him start thinking that's what he wanted to do, an enlisted track; but immediately, I told him that I didn't think that was the right decision for him... I proceeded to have him talk to our Company Senior Chief...[because] someone from the enlisted side could tell him whether this was the right place for him or whether the enlisted side was the right place. He ended up changing his mind [and]... he's about to finish his first year.

MIDN N, a second-year student, learned about compromise while interacting with his Second Class supervisor. During plebe year, MIDN N and his Second Class supervisor had problems because their leadership styles did not match. Over the semester, both individuals compromised, and eventually they reached a point of congruence that allowed the second class to establish a standard and MIDN N to meet the standard. In interview #14, MIDN N describes results of the interaction with his second class.

He was making me do stuff above and beyond because he didn't like my leadership style; but, at the same time, I wasn't about to change to his type of leadership style. So, it became a power struggle between me and him...He wanted me to be like him and I was not willing to do that...So, it became a power struggle and eventually we both evened it out. I came up to a level where he could tolerate it and he stopped demanding...

MIDN I learned about concern for subordinates by interacting with his youngster. As a plebe, MIDN I had problems completing his military requirements, so he asked his third class supervisor for assistance. During their conversations, the youngster provided MIDN I with specific guidance and MIDN I was able to improve his performance. In interview #9, MIDN I describes the interactions that occurred.

I was having a hard time...My second class was giving me a hard time about just filling my role as a plebe... I sat down and talked to my youngster about it and I just told him, "I need to talk...I have no idea what they were looking for...I'm doing everything to the best that I think I can do it right now." He just sat down and gave me a list:...always try to get things done on time, be a lot more confident,...and try to make use of your youngsters. And I mean I have a lot of respect for him just because of that.

MIDN K, a senior, learned about motivation by interacting with the Captain of the women's softball team. During her first game as a plebe, MIDN K dropped a fly ball. Although some of the team members were disappointed, the team Captain downplayed the error and continued to motivate MIDN K. In interview #11, MIDN K describes how she incorporated this interaction into her personal leadership style.

I remember the first game that I played. I was kinda nervous because I was a plebe playing...and I dropped a fly ball. She was the catcher, so she calls time out and she came over... She looked at me and was like, "Hey, you know you're one the best outfielders I've ever seen. I know you can do this. Just relax, take a deep breath and do it!" I remember saying something similar to some of the plebes on the team this year and last year too.

MIDN A learned about leadership by interacting with her peers. This fourth-year midshipmen used observation and dialogue to figure out what the good performers were doing right. In interview #1, MIDN A describes the interactions she used to facilitate her personal leadership development.

You know sometimes you just see people, other classmates, and you just say they look like they're doing a really good job... One guy in my company... just seems to get along better with everybody and always seems to know exactly what to do [and] when to do it... He lives right across the hall from me. I spend a lot of time in their room just talking to [him] trying to figure out what's going on [and] what I'm missing that [he's] got.

**G. THEME VI: MIDSHIPMEN LEARN POOR LEADERSHIP BEHAVIORS FROM THE ORGANIZATIONAL CULTURE**

**1. Theme**

Midshipmen learn about leadership from the organizational culture; unfortunately, most of the lessons, behaviors, and attitudes are inappropriate for Naval Academy personnel. As a learning source, the organizational culture teaches midshipmen the following: (1) to view Company Officers as adversaries; (2) to procrastinate; (3) to hate drill; and (4) to fraternize with enlisted personnel.

**2. Justification**

The researcher asked the midshipmen to provide suggestions for improving the Naval Academy leadership development program. Seventy percent of the midshipmen sample described the midshipmen's organizational culture. This culture, which rests upon a foundation of cynicism, exists within the Brigade of Midshipmen because the upperclass midshipmen "teach" the first year midshipmen to think a certain way.

MIDN F, a third-year student, believes the organizational culture teaches midshipmen to view their Company Officers as adversaries. In interview #6, MIDN F describes the impact that this adversarial relationship has on the Company Officers' effectiveness.

In most of the companies around here, the Company Officer is seen as an adversary, someone that you want to avoid at all costs. When you have an attitude like that, it's very difficult for the Company Officer to be a leader.

MIDN B believes the midshipmen learn "procrastination" from the organizational culture. During the interview #2, MIDN B describes how the senior midshipmen

reinforce the organizational culture by completing inspection requirements at the last minute.

The Regimental Staff type people come down and see how your paper work is. I probably [would have] failed because our personnel jackets aren't that good... The night before the re-inspection,... they came around saying, "You know, you've got to print [this] out...you've got to copy it. Make it look good. You've got to get these in the file, this is wrong with the file, you've got [to] fix this." The night before?!?! That's just unthinkable! You know, this is happening over and over again.

MIDN D, a third-year student, believes midshipmen learn to hate drill from the organizational culture. During plebe summer, midshipmen leadership is committed to teaching drill and, as a result, the plebes learn to love drill. During the academic year, however, upper class midshipmen are cynical about drill. Throughout the drill season, this academic-year cynicism permeates the company and the plebes eventually learn to hate the activity that they initially enjoyed. In interview #4, MIDN D describes the organizational culture's teaching cycle.

You love to drill plebe summer... That's... the best part of plebe summer. [Then]... you see... the attitudes of all upper class and you see your detailers... screwing off during drill, laughing and joking and trying to see who can burp the loudest. [During plebe summer]... they're telling us all along how important drill was and how important it was to be disciplined, yelling at us if we messed up, and now look at what they're doing. So, I think...that's a big factor.

MIDN E believes midshipmen learn improper officer-enlisted relations from the organizational culture. Although midshipmen are taught to maintain a professional relationships with enlisted personnel from the Naval Academy's socializing agents, midshipmen do not interact with enlisted sailors during the academic year; and, as a

result, do not have the opportunity to develop proper officer-enlisted relationship under the administration's supervision. As a result, midshipmen develop the attitude that senior-subordinate relationships during the summer cruise period are not subject to the same scrutiny as senior-subordinate relationships during the academic-year. In interview #5, MIDN E describes the fraternization that occurred between midshipmen and enlisted personnel, and the reasons for the occurrence.

There were approximately twenty females and we were the first females ever on board the DULUTH... A lot of them didn't really know how to deal with us, we ... never really interacted with enlisted very much, ... and there was an extreme amount of fraternization that went on ... Some people really took advantage of their cruise in a good sense in that they did try and learn as much as they could, but even most of those people on their off time were going out with the enlisted. I would say that probably 90 percent of the girls on my cruise kissed an enlisted guy at some point during the cruise. Maybe not from our ship but from some ship in the area.

#### **H. THEME VII: MIDSHIPMEN DO NOT RETAIN THE LEADERSHIP LESSONS PRESENTED BY THE FORMAL CURRICULUM**

##### **1. Theme**

Boyatzis et al. (1995), Kolb et al.(1991), and Silbermann (1996) believe that individuals use experience and observation to develop "abstract concepts" on a particular subject. In accordance with the theory, midshipmen were able to discuss their experiences and observations. However, they were unable to integrate their experiences into a coherent theory; they were unable to describe what they learned from the formal leadership development curriculum; and they were unable to describe the relationship between the formal curriculum presented in Luce Hall and the practical application experienced in Bancroft Hall.

## **2. Justification**

The researcher asked the midshipmen to describe the lessons learned from the formal leadership development program. For operational purposes, the formal program included the following components: (1) Basic Naval Leadership (NL102), (2) Ethics (NE203), and (3) Advanced Naval Leadership (NL302). Although the midshipmen were able to discuss the Ethics case studies, 75 percent of the midshipmen were not able to articulate lessons learned from the Naval Leadership course of instructions. Furthermore, 75 percent of the midshipmen admitted that they did not take the course seriously because the course material was complicated, the work requirements were extensive, and the relative weight of the course was insignificant (i.e., 2 credit hours per NL course).

MIDN D, for example, did not retain any leadership lessons from the formal leadership course. During the conversation, this third-year midshipmen conveyed an opinion that was common among the midshipmen interview: the leadership classes should not be taken seriously. In interview #4, MIDN D describes her impression of the leadership classes.

I found our leadership courses...to be a joke. Like, at least twice a week...they'd have us read this and have us read that. It was really like if you'd asked me what did I learn from that class I'd say nothing because I thought it was pretty much a joke.

MIDN A did not learn leadership from the NL102 leadership course because she did not do the readings. Although the 300-level leadership course was more intensive than the 100 level course, MIDN A was not able to identify specific lessons learned from either program. She did, however, express her dissatisfaction with the amount of work

required for a two-credit course. In interview #1, MIDN A describes her impressions of the formal leadership classes.

I haven't done much Naval Leadership. Plebe year, leadership is just repeating from the list. I think I pretty much slept through the class. Reading? I never did them. We didn't have to do them to take the tests... I'm taking Naval Leadership this semester...and they keep bringing up things that we were supposed to learn in Naval Leadership 102 and... I don't remember any of it... It's a little more intensive this semester... I don't think it's doing anything except making everybody very bitter towards the leadership department because they're doing a lot of work for a two-credit class.

MIDN E did not learn leadership from the NL302 leadership course because she did not need to read the material to pass the class. In the advanced leadership class, midshipmen do presentations and provide handouts to the class to encourage participation. Since the hand-outs summarize the lesson's major points, the midshipmen do not need to prepare for class. In interview #5, MIDN E describes her NL302 classroom experience.

I found that it's a lot easier to get through NL302 without actually doing the reading. The reading pretty much is irrelevant because of the way the class is taught. I know that sounds really bad... One group will teach the class and they usually hand out some handout that they've made up, which is a good little review of what the reading was. If you look over that, you don't have to have done the reading... I've heard some of [my classmates] don't even have a book.

When asked to summarize the lessons learned from the formal curriculum, MIDN G, a second-year student, was not able to provide the interviewer with any specific lessons learned. In interview #7, MIDN G was not able to describe what he learned about leadership.

I'm sure I've used something that I've learned in Ethics class [or] something that I've learned in Leadership in the Hall. But I can't really pinpoint it down because I did it automatically or something like that. I can't really think of any specific examples.

MIDN C believes the academy does not take leadership instruction seriously because the leadership courses are only two-credit hours. Since the grade does not have a major impact on an individual's grade point average, the midshipmen do not take the time to learn the material. In interview #3, MIDN C presents his analysis of the situation.

As far as Naval Leadership, Naval Leadership 102, ... no one took it seriously. [It was a] two-credit course that didn't matter one way or the other what you did. It just seems like with the two credits, the Academy wasn't taking it very seriously.

MIDN B believes NL302, a two-hour Leadership course, is too difficult for the midshipmen to understand. The course material, coupled with the limited time spent on each topic, does not give midshipmen the chance to learn the material or to incorporate the concepts into their personal leadership styles. In interview #2, MIDN B describes the limited effectiveness of the formal leadership class.

The course we're in now has a big problem in that it's above the head of most people [and it] does not spend enough time on any one subject... It's like OK that has a beginning and end [and] that is it. They're not linked. They don't feed off each other and really all you get out of... this course is for the most part... people don't really [understand] this transformational leadership [or] that term is transactional leadership... I don't know that I've applied any of it.

**I. THEME VIII: GRADUATE STUDENTS AND LEADERSHIP INSTRUCTORS LEARN ABOUT LEADERSHIP BY OBSERVING OTHERS, REFLECTING ON THEIR PERSONAL EXPERIENCES, AND INTERACTING WITH THE FORMAL LEADERSHIP THEORY**

**1. Theme**

While working in the operational environment, the graduate students and leadership instructors use experience, observation, and experimentation to learn leadership. After these officers complete their sea tours and return to the Naval Academy, they shift from an operational focus (i.e., concrete orientation) to an academic focus (i.e., abstract orientation). In the academic environment, the graduate students and leadership instructors interact with formal leadership theory and, as a result, use reflection and abstract conceptualization to learn leadership. By the time these officers complete their shore-duty assignments, the graduate students and leadership instructors learn leadership through an integrated systems approach (i.e., experience, observations, reflection, experimentation, abstract conceptualization, and interaction).

Although the officer learning processes appear to be similar to the midshipmen learning processes, there are some important differences. First, the officers interview data supports conceptualization (i.e., formal classroom instruction) as an important learning processes. The midshipmen interview data do not support the role of abstract conceptualization as a source of leadership learning. Second, the officer interviewees mention multiple learning processes when asked to describe how they learned about leadership. For example, one leadership instructor mentions learning about leadership from experience, observation, and theory. The instructor mentions all three processes in

a single paragraph without additional prompting from the researcher. When the interviewer asks the midshipmen to describe how they learned about leadership, the majority of the midshipmen mention a single learning process. For instance, the midshipmen learn from a specific experience, observation, reflection, or experiment. Midshipmen did not normally describe extracting leadership lessons from multiple sources unless specifically prompted by the researcher.

## **2. Justification**

During the interviews, the researcher asked the graduate students and the leadership instructors to describe the processes used to learn leadership. One hundred percent of the officer sample used multiple methods to learn leadership. These methods included one or more of the following learning methodologies: (1) experience, (2) observation, (3) reflection, (4) experimentation, (5) abstract conceptualization, and (6) interpersonal interaction.

LT Y, a surface warfare officer, presents a belief common among the officers interviewed: individuals learn leadership by experience. In interview #25, LT Y describes the relationship between experience and learning.

It cannot be stated enough or emphasized enough the role of experience in learning leadership. It's hard to teach something like that in a classroom.

Although book learning is difficult, LT Y maintains that classroom instruction can facilitate leadership development if the leadership student brings some experience to the table. In these situations, students learn leadership by integrating formal theories and real-life experiences. The formal theories provide developing leaders with a knowledge

foundation; the real-life experiences give students the opportunity to apply their knowledge. In interview # 25, LT Y presents his philosophy on formal instruction.

It has a role. If you really want to learn something you need to learn the basics. You need to learn models, rules, theories, [and] stuff like that...You also need practical experience because you can't be a leader by reading it out of a book...At the same time, you're not as good a leader as you can be if you don't have some of the theoretical knowledge [and] some of the academic knowledge as a foundation.

LT N, a submarine officer, believes that experience is the best way to learn leadership. This NPS graduate student acknowledges that formal instruction can provide a student with insights and options; however, he concludes that actual learning occurs by "doing and experiencing" real-life situations. In interview #19, LT N describes the significance of concrete experience for facilitating leadership development.

I don't think you learn from the books---I think you can get some insights...and some different ways of doing things from the books, but I really think the learning comes from being out in the fleet. Doing and experiencing... I think it's pretty hard to stick someone in a classroom that has not been in any position and tell him these are the different options you have.

LT W, a naval flight officer, believes that individuals learn leadership from personal experiences. LT W believes that personal leadership experience can improve classroom learning, and classroom instruction can influence subsequent leadership development. In interview #23, LT W describes the way formal training can be used to organize previous experiences and facilitate leadership development.

The classroom gives you an awareness for [leadership] but does not teach it per se. I think it's...a school of hard knocks, unfortunately...Even in the awareness, you need to have a base to go from. You need to say, "Oh yea. OK. I've seen that," or, "... I've seen this work and I've seen that not work." ...I think that we're in a [LEAD] program that puts labels on things that we've seen.

During his year in the NPS graduate school program, LT V, a submarine officer, reflected on his personal experience while completing classroom assignments. These assignments provided this New York Maritime graduate with the opportunity to synthesize his fleet experiences with the formal leadership theories. In interview #22, LT V describes how the LEAD program contributed to his personal leadership development.

The way I relate that to this program is, I did three, four years in the fleet, even eight years if you go back to my enlisted time...I have all that experience that when these things were said to me...things started clicking...I was like, "Yea that's right" or it really made sense...I think that's helped me a lot with retention and with actually learning things.

LT T, a naval flight officer, believes that individuals learn leadership by reflecting on their experiences. For this Naval Academy graduate, the NPS LEAD program contributed to his leadership development by giving him the opportunity to learn about himself. While completing the classroom assignments, LT T reflected on his concrete experiences and identified his strengths and weaknesses. In interview #20, LT T describes the role that "self-awareness" has in personal leadership development; he concludes that this "self-awareness" would have improved the quality of his decisions during his previous assignment.

What have I learned about leadership? ... I'd say what I've learned ... is about myself; and my strengths and weaknesses... At the Naval Academy, when they teach leadership, they give you all kinds of stuff, but what you don't spend a whole lot of time learning about is yourself. What are your strengths and weaknesses? How you tend to react in certain situations? ... [In the graduate program] I've learned that I tend to be confrontational on certain things. If I had known that [before] and factored that into the analysis, then I would have made better decisions...and created alliances that would get something done.

LCDR X, a naval aviator, believes that individuals learn leadership through a combination of experience and observation. As a leadership instructor, LCDR X integrates this philosophy into the midshipmen's formal leadership training plan. In this program, the instructors use experiential activities to facilitate learning. If experience-based learning is not practical, the instructors require the students to read about "leadership situations" and apply the lessons learned to their personal situations. With this in mind, LCDR X describes integrated learning in interview #24.

We take that approach in teaching. That teaching leadership is done best by experience. If you can't actually experience what is happening, then the second best way is to read about someone's experiences and see how that translates into your own personal experiences.

LT N describes leadership learning as a holistic process that integrates classroom instruction, concrete experience, observation, and experimentation. This learning "gestalt" allows leadership students to develop leadership techniques that can be used in a variety of situations. In interview #19, LT N presents his theory on the leadership learning process.

There is no one particular source that is going to teach anybody about leadership... It's a combination of a little bit of classroom, a little bit of application, a little bit of what you see, a little bit of what you do, and a little bit of case studies;... and all of that wrapped up in a little package should give you a pretty good little toolbox to pack around and pull out those tools to fix problems.

LT U, a leadership instructor, believes individuals use a systems approach to learn leadership. This learning process includes observation, experience, and theory. In interview #21, LT U describes learning leadership by observing his supervisors in the fleet, participating in leadership situations, and interacting with the leadership theory. This surface warfare officer concludes that experience is the best teacher although observation and theory have a role in the learning process.

I learned leadership from random experiences that happened to me in the fleet. I've learned a lot from the COs, XO's, and Department Heads; and then, I've had a great opportunity to be a leadership instructor. That teaches me a little theory that lets me organize my thoughts. [In essence], you learn leadership in three ways, experience, observation, and theory. I think the experience is 80 percent of it, the observation is 15 percent, and the theory is five percent.

## **J. SUMMARY**

In summary, chapter four presented the processes midshipmen use to learn about leadership. The sources of learning include personal experience, observation, reflection, experimentation, and interactions with socializing agents. In addition, this chapter suggested midshipmen learn poor attitudes and behaviors from the organization culture, and midshipmen do not retain leadership lessons presented by the formal leadership curriculum. Finally, the interview data supported the idea that junior officers (i.e., NPS graduate students and Naval Academy leadership instructors) use a holistic process to

learn leadership. In the final chapter, the researcher summarizes the themes and suggests questions for additional research.



## V. NEW WAYS TO STRUCTURE KNOWLEDGE

There is no limit to the process of learning to learn. Indeed, once human beings have been bitten by the excitement of finding new ways to structure knowledge, they will never again fear being bored (Gross, 1991; p. 47).

### A. OVERVIEW

Robert Theobald's introductory quote, presented in Gross' (1991) Peak Learning, establishes a relationship between learning epiphanies and individual student excitement. The relationship creates a self-perpetuating cycle that increases student motivation and material retention; the cycle can be used with Naval Academy midshipmen. For example, midshipmen are presented with a diverse set of leadership lessons during their time at the Naval Academy. If midshipmen understand the processes used to learn leadership lessons, midshipmen should be able to tailor their individual learning styles to absorb the administration's lessons. This process, in theory, should facilitate leadership development by increasing midshipmen motivation and enhancing the retention of leadership principles extracted from the formal and informal structures. With this in mind, in this final chapter, the author summarizes the findings and presents suggestions for future research.

### B. SUMMARY

In this thesis, the researcher attempted to answer the research questions presented in Chapter I: *(1) How do midshipmen learn about leadership? (2) How do officer learning processes differ from midshipmen learning processes?* In response to the

research questions, the learning literature and the leadership literature, presented in Chapter II, identified the following sources of learning: (1) experience, (2) observation, (3) reflection, (4) experimentation, (5) interpersonal interactions, (6) organizational culture, (7) formal instruction (i.e., conceptualization), and (8) self-direction. The interview data, presented in Chapter IV, suggested midshipmen use the first six sources to learn leadership. The interview data further suggested midshipmen do not learn leadership from formal classroom instruction; however, the officer interview data supported conceptualization (i.e., theoretical instruction) as an important leadership learning process. The officer interview data suggested that graduate students and leadership instructors use an integrated (i.e., systems) approach to learn leadership. Neither the midshipmen sample nor the officer interview sample data supported self-direction as a leadership learning process.

### **1. Experience**

Theory suggests that individuals learn from concrete experience (Boyatzis et al., 1995; Kolb et al., 1991; Gross, 1991). The interview data supports this hypothesis; midshipmen learn leadership from formal and informal supervisory experiences. The Naval Academy provides the midshipmen with a variety of formal and informal supervisory positions. The formal assignments, positions associated with the military chain-of-command, include (1) Striper positions (i.e., Battalion Executive Officer and Company Commander), (2) Squad Leader assignments, and (3) pre-academy enlisted experience. The informal leadership supervisory assignments include (1) pre-academy employment, (2) extra-curricular activities, and (3) teaching opportunities. While

performing their duties, midshipmen experience leadership challenges and learn from these leadership experiences.

## **2. Observation**

Theory suggests that individuals learn by observing other people and modeling their actions (Pintrich & Schunk, 1996; Bennis & Nanus, 1997; and Donnithorne, 1994). The interview data support this hypothesis; midshipmen learn leadership behaviors by observing role models. During their undergraduate years, midshipmen observe good and bad role models. Some of the role models are in the military chain-of-command and others are not in the military chain-of-command. In the formal structure, the midshipmen observe (1) Battalion officers, (2) Company officers, (3) Senior Enlisted personnel, and (4) Squad Leaders. Outside of military chain-of-command, midshipmen observe (1) parents, (2) coaches, and (3) peers. By observing good and bad role models, midshipmen learn to emulate good leadership behaviors and to avoid poor leadership behaviors.

## **3. Reflection**

Theory suggests that individuals learn by reflecting on their experiences and observations (Gross, 1991; Mezirow, 1991; Kolb et al., 1991; Silbermann, 1996). The interview data supports this hypothesis; midshipmen learn about leadership by reflecting on their personal experiences and observations. For example, midshipmen do not always understand the implications of their action while leadership situations are in progress. Once removed from the particular event, midshipmen think about their situations "off-line." This reflection period allows the midshipmen to evaluate the situations in their

minds. After the reflective period is over, the midshipmen extract lessons from the original situations and retain the leadership lessons for future events.

#### **4. Experimentation**

Theory suggests that individuals learn through active experimentation (Maxwell, 1995; Adair, 1983; Bennis & Goldsmith, 1994; Kolb et al., 1991). The interview data supports this hypothesis; midshipmen learn leadership behaviors by actively experimenting with a variety of leadership styles. The Naval Academy provides midshipmen with a variety of formal and informal supervisory billets. These supervisory assignments provide midshipmen with the opportunity to “test” leadership principles and “experiment” with different leadership techniques. The most significant experiments occur while midshipmen participate in the following: (1) summer seminar, (2) plebe summer detail, (3) summer cruise assignments, and (4) academic year supervisory assignments.

#### **5. Interpersonal Interaction**

Theory suggests that college students learn by interacting with faculty, peers, and other socializing agents (Astin, 1984; Tinto, 1975; Weidman, 1989; Pascarella & Terenzini, 1991). The interview data supports this hypothesis; midshipmen learn good leadership behaviors by interacting with the Naval Academy’s socializing agents. The formal socializing agents are as follows: (1) Battalion Officers, (2) Company Officer, (3) Company Senior Enlisted personnel, (4) Company Commanders, and (5) Squad Leaders. The informal socializing agents include coaches, teammates, and peers. While

interacting with the socializing agents, midshipmen discuss leadership situations and extract leadership lessons from their external reflections and the socializing agents' recommendations.

## **6. Organizational Culture**

Theory suggests that individuals learn from the organizational culture (Schein, 1992). The interview data supports this hypothesis; midshipmen learn poor leadership behaviors from the organizational culture. For example, the fourth class midshipmen are inculcated with the Naval Academy's espoused values during their plebe summer indoctrination. Once the fourth class midshipmen shift from the plebe summer organization to the academic year organization, the espoused values are lost because the upperclass midshipmen teach the first-year students new ways to feel about officers, enlisted personnel, and military training. For the most part, these new "teachings" are not consistent with the Naval Academy's espoused values and, ultimately, lead to poor leadership behaviors.

## **7. Formal Instruction**

Theory suggests that individuals learn through formal instruction (Boyatzis et al., 1994; Kolb et al., 1991; Silberman, 1996). The midshipmen interview data do not support the hypothesis; midshipmen do not retain the leadership lessons provided by the formal curriculum. For example, when the interviewer asked the midshipmen to discuss what they learned from the two leadership courses (e.g., NL102 and NL 302), the midshipmen were not able to articulate the objectives presented during the courses.

Moreover, the midshipmen were not able to explain the relationship between the leadership concepts presented in the formal curriculum and the practical experience they were receiving in their supervisory assignments.

During their tours at the Naval Academy, junior officers learn leadership by teaching leadership theory or participating in graduate level leadership education programs. In their teaching positions, officers use their personal experiences to explain the leadership theory to midshipmen students. This integration, between formal theory and personal experience, improves the officer's understanding and retention. In graduate school programs, the course material requires graduate students to reflect on their personal experiences, to synthesize their personal experiences with the abstract concepts, to present their findings in academic case studies, and to predict how they will use this new knowledge in future situations. Since the graduate students and leadership instructors use experience and reflective observation to facilitate theoretical understanding, the formal instruction process is a valid method for learning about leadership.

## **8. Holistic Learning**

Theory suggests that adult learners use a holistic learning approach that includes experimentation, observation, reflection, abstraction conceptualization, active experimentation, interaction, and self-direction (Boyatzis et al., 1994; Kolb et al., 1991, Gross, 1991, Pintrich & Schunk, 1996). The officer interview data supports this hypothesis; graduate students and leadership instructors learn about leadership by observing others, reflecting on their personnel experiences, and interacting with the

formal leadership theory. For example, the graduate students and leadership instructors learned leadership by observing their fleet supervisors and by experiencing leadership dilemmas. Once these instructors returned to the Naval Academy academic environment, the graduate students and leadership instructors reflected on their experience and observations, integrated their reflections with the leadership literature, and experimented with their new knowledge.

### **C. POTENTIAL THESIS RESEARCH QUESTIONS**

During this research assignment, the author developed several research questions about leadership development at the United States Naval Academy. The first set of questions is related to the Naval Academy's organizational culture. For example, does the Naval Academy have a distinct organizational culture? How do midshipmen learn about leadership from the organizational culture? Future research could describe the culture by conducting interviews with Naval Academy midshipmen; comparing and contrasting the "actual" midshipman values with the institutional "espoused" values.

The second set of questions is related to the Naval Academy's curriculum and organizational design. For instance, does the curriculum and organizational structure facilitate leadership development? What steps can the administration take to improve the curriculum and the formal leadership development programs to enhance leadership learning? Can the Naval Academy integrate the case-study methodology into its formal curriculum? Does the case-study learning process facilitate retention of leadership techniques?

The third set of questions is related to race and gender considerations. For example, are the leadership learning processes common across ethnic and gender barriers? Do males and females use the same processes to learn about leadership? Do minority-race midshipmen use the same processes as majority-race midshipmen to learn about leadership? The final set of questions is related to organizational learning. For instance, do individuals and organizations use the same processes to learn leadership? How do group interactions facilitate or retard the leadership learning process? How does organizational conflict and conflict management influence individual and group learning?

In short, the previous question sets could contribute to the body of knowledge on leadership learning processes. This basic understanding could ultimately influence the following: (1) curricula formation, (2) midshipmen formal and informal organizational design, (3) midshipmen professional programs, (4) officer supervisory functions, and (5) Company Officer preparation programs. If the Naval Academy administration commits the time and resources to this on-going project, the academy organization will be able to implement the recommendations presented in Turner's (1997) The Higher Standard and will be able to improve the way it accomplishes its primary mission: to develop midshipmen.

# APPENDIX A: MIDSHIPMEN INTERVIEW SAMPLE

| Interview # /<br>Date | Race/Gender  | Grade Point | Performance<br>Grades | Rank     |
|-----------------------|--------------|-------------|-----------------------|----------|
| #01 – 14 Apr 98       | White/Female | 3.80        | A                     | MIDN 1/C |
| #02 – 14 Apr 98       | White/Male   | 3.20        | A/B                   | MIDN 2/C |
| #03 – 14 Apr 98       | White/Male   | 3.20        | A/B                   | MIDN 3/C |
| #04 – 15 Apr 98       | White/Female | 2.50        | A/B                   | MIDN 2/C |
| #05 – 15 Apr 98       | White/Female | 2.33        | B                     | MIDN 1/C |
| #06 – 16 Apr 98       | White/Male   | 3.47        | B                     | MIDN 2/C |
| #07 – 16 Apr 98       | White/Male   | 2.89        | A/B                   | MIDN 3/C |
| #08 – 16 Apr 98       | White/Male   | 2.32        | B/C                   | MIDN 2/C |
| #09 – 16 Apr 98       | White/Male   | 2.50        | B                     | MIDN 4/C |
| #10 – 16 Apr 98       | Latino/Male  | 2.56        | C                     | MIDN 4/C |
| #11 – 22 Apr 98       | White/Female | 2.61        | B/C                   | MIDN 1/C |
| #12 – 22 Apr 98       | White/Male   | 2.60        | A                     | MIDN 1/C |
| #13 – 30 Apr 98       | White/Male   | 3.50        | A                     | MIDN 1/C |
| #14 – 30 Apr 98       | Latino/Male  | 2.45        | B                     | MIDN 3/C |
| #15 – 30 Apr 98       | White/Male   | 2.35        | B                     | MIDN 2/C |
| #16 – 01 May 98       | White/Female | 3.10        | A                     | MIDN 1/C |
| #17 – 01 May 98       | Asian/Female | 2.92        | A/B                   | MIDN 1/C |
| #18 – 04 May 98       | White/Male   | 2.90        | B/C                   | MIDN 1/C |



**APPENDIX B: GRADUATE STUDENT AND LEADERSHIP INSTRUCTOR  
INTERVIEW SAMPLE**

| <b>Interview # /<br/>Date</b> | <b>Race/Gender</b> | <b>Undergraduate<br/>Major</b> | <b>Warfare<br/>Specialty</b> | <b>Rank</b> |
|-------------------------------|--------------------|--------------------------------|------------------------------|-------------|
| #19 – 22 Jun 98               | White/Male         | Aeronautical<br>Engineering    | Submarine<br>Warfare         | LT          |
| #20 – 23 Jun 98               | White/Male         | Physics                        | Aviation                     | LT          |
| #21 – 23 Jun 98               | White/Male         | Political Science              | Surface<br>Warfare           | LT          |
| #22 – 24 Jun 98               | White/Male         | Electrical<br>Engineering      | Submarine<br>Warfare         | LT          |
| #23 - 24 Jun 98               | White/Male         | Business                       | Aviation                     | LT          |
| #24 - 24 Jun 98               | White/Male         | Political Science              | Aviation                     | LCDR        |
| #25 – 01 Jul 98               | White/Male         | General<br>Engineering         | Surface<br>Warfare           | LT          |



## **APPENDIX C: MIDSHIPMEN INTERVIEW PROTOCOL**

1. What have you learned about leadership during your time at the Naval Academy?
2. Describe a good role model? Did you have any role models within the formal structure (i.e., instructors, company strippers, company officers, etc.)? Did you have any role models outside of the formal structure (i.e., coaches, sponsors, officer-representatives, etc.)? With regards to leadership, what did you learn from these role models?
3. Describe your formal leadership assignments (i.e., company billets or cruise assignments) During your tour, did you have the opportunity to exercise leadership? How would you modify these assignments to improve the leadership development process?
4. Describe your informal leadership assignments (i.e., sports, extra-curricular activities, peer-leadership, etc.). During your tour, did you have the opportunity to exercise leadership? Where did you receive most of your leadership experiences (i.e., formal or informal)?
5. Describe the formal leadership training program (i.e., academic courses). Were you able to integrate classroom instructions into your formal and informal leadership assignments? How would you modify the formal leadership curriculum to improve the leadership development process?
6. During this interview, you identified the following leadership characteristics (i.e., trust, competence, integrity, etc.) Please, rank these leadership characteristics and explain their importance.



## **APPENDIX D: GRADUATE STUDENT AND LEADERSHIP INSTRUCTOR INTERVIEW PROTOCOL**

1. What have you learned about leadership by participating in the graduate program (or by being a leadership instructor)?
2. Have you developed a personal leadership theory during this assignment? If so, please describe your personal leadership theory?
3. During the past year, you have been interacting with the theory and reflecting on your fleet experiences. With this in mind, can you describe a situation that you would may have handled differently if you had had the benefit of this graduate education earlier in your career?
4. In your own words, describe your theory on how individuals learn about leadership?



## APPENDIX E: MIDSHIPMAN DATA TEMPLATE

### PART A: DEMOGRAPHICS

Respondent #:  
Rank:  
# Brothers: # Sisters:  
Birth Order:  
Home of Record:  
Race:  
Gender:  
Religious Affiliation:  
Grade Point Average:  
Military Performance Grades:

### PART B: RESPONSES

|                                       |           |           |
|---------------------------------------|-----------|-----------|
| Leadership Experiences:               | Formal:   | Informal: |
| Leadership Observations:              | Formal:   | Informal: |
| Role Models:                          | Formal:   | Informal: |
| Reflecting on Experiences:            |           |           |
| Classroom Instruction:                | Positive: | Negative: |
| Experimenting with Leadership Styles: |           |           |
| Interpersonal Interactions:           |           |           |
| Organization Culture:                 |           |           |
| Personal Theories:                    | Traits:   | Systems:  |



## **APPENDIX F: GRADUATE STUDENT AND LEADERSHIP INSTRUCTOR DATA TEMPLATE**

### **PART A: DEMOGRAPHICS**

Respondent #:

Rank:

Home of Record:

Race:

Gender:

Marital Status:

Children:

Undergraduate Major:

Commissioning Source:

Warfare Specialty:

### **PART B: RESPONSES**

Lessons Learned from the Theory:

Reflecting on Experiences:

Leadership Styles Changes:

Personal Theories:

Learning About Leadership



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